

THE PERFORMANCE APPRAISAL AND DEVELOPMENT REVIEW POLICY

Summary

This policy sets out the principles and approach for appraisal and career development planning in the Trust and applies to all non-medical staff in the organisation. It covers the timing, documentation and monitoring of appraisals for staff on Agenda of Change pay bands. The policy also sets out the responsibilities of managers to monitor and review staff's performance, give feedback and support their development. This policy should be read in conjunction with the Trust Pay and Progression Policy and Procedure.

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1. POLICY STATEMENT

- 1.1 The Royal Marsden NHS Foundation Trust is committed to ensuring good performance management and continuous improvement through the ongoing appraisal and development of its staff. Appraisal is a key performance management tool and an important mechanism for building engagement and helping to improve individual and team performance to support organisational objectives.
- 1.2 This Policy sets out the principles for appraisal and the process for conducting Performance Appraisal and Development Reviews.
- 1.3 The framework for appraising performance will be based around agreed key result areas or work objectives and behaviours linked to the Trust values (these are described in the appraisal paperwork).
- 1.4 The annual Performance Appraisal and Development Review process is a fundamental part of good people management practice, in addition to regular informal discussions, providing constructive feedback on an individual's work performance and related development throughout the year. It is important for managers to have direct communication with staff as frequently as possible; this will vary depending on the size and structure of the team.

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- 1.5 The appraisal should be based on the principle of ‘no surprises’ and performance issues dealt with as and when they arise. The appraisal discussion will provide an opportunity to praise staff for their contribution during the year and provide constructive feedback to support ongoing development.
- 1.6 The Trust’s appraisal policy and procedures will be reviewed regularly to ensure that they continue to reflect emerging Trust, individual and NHS needs.
- 1.7 The Royal Marsden NHS Foundation Trust believes in providing equity in its services, in treating people fairly with respect and dignity and in valuing diversity both as a provider of cancer health services and as an employer. These principles will be followed when applying this policy and procedure.

2. PRINCIPLES FOR THE PERFORMANCE APPRAISAL AND DEVELOPMENT REVIEW

- 2.1 The Performance Appraisal and Development Review process is an integral part of the way the Trust manages employee performance and development.
- 2.2 All staff will have a formal annual Performance Appraisal and Development Review against agreed performance expectations (key result areas or work objectives).
- 2.3 Performance Appraisal and Development Review is a two-way process. It provides an opportunity for all staff to:
- Receive feedback on their performance against performance expectations
 - Reflect on their work performance and give feedback on experiences working in the Trust and work area
 - Confirm the requirements of their job and agree work objectives for the coming year
 - Discuss and agree development needs and how these might be met
 - Discuss career development aspirations
- 2.4 The Performance Appraisal and Development Review provides a context for the individual role by referring to the department and Trust objectives.
- 2.5 The Performance Appraisal and Development Review will be recorded on the appropriate Trust documentation and will include an agreed record of achievements, brief descriptions of how performance meets Trust values and behaviour requirements, future work objectives, ongoing work responsibilities (e.g. mandatory training) and agreed development.
- 2.6 The Performance Appraisal and Development Review will result in the production of a development plan (DP) identifying any learning and development requirements and how they will be met.
- 2.7 The Performance Appraisal and Development Review will take place between staff and their manager or, where appropriate, another appropriately trained senior team member.

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3. OBJECTIVES

- 3.1 It is important that employees understand how they contribute to the Trust objectives. Managers should ensure that staff are aware of the Trust objectives and align team and individual objectives accordingly.
- 3.2 An outcome of the appraisal should be agreed work objectives which relate to the Trust strategic objectives. The headings below set out the key areas to which objectives should be linked to:

Core Themes

- Research and innovation
- Treatment and care
- Modernising infrastructure
- Financial sustainability and best value

Cross Cutting Themes

- Workforce
- Quality
- The Royal Marsden Cancer Charity
- Private Care

- 3.3 Work based objectives may be a mix of project work (stretch/challenging objectives) and everyday work (maintenance objectives). Team objectives can be agreed for some staff groups.

4. CAREER DEVELOPMENT PLANNING

- 4.1 As part of the Performance Appraisal and Development Review, the appraiser and appraisee will discuss progress against the Career Development Plan (CDP) agreed at the last appraisal, and discuss and agree development needs for the coming year, including mandatory training requirements to be documented in the PDP.
- 4.2 Managers will identify any development needs and plan to support staff to develop the appropriate knowledge and skills; this will be documented in the Career Development Plan. Appropriate development may include, shadowing colleagues, attending meetings, undertaking projects, attending face-to-face training, e-learning and academic qualifications.
- 4.3 Where agreed development is not supported as planned during the year, managers should provide a reason explaining the rationale for this.

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- 4.4 In order to inform organisational learning and development plans, appraisers should share the outcomes of the development plans discussed in Performance Appraisal and Development Reviews with their manager (if they are not the appraisee's manager), professional lead(s) and the Learning & Development department as appropriate.
- 4.5 Learning and Development will develop training plans based on NHS and Trust requirements and through discussions and feedback from managers. Specific training needs analysis will be undertaken as necessary.

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5. APPRAISAL OUTCOMES

- 5.1 As an outcome of the appraisal for all staff, a performance rating should be awarded based on a review of all aspects of performance using the following scale:

Rating	Definition
Exceeding expectations	Not only meets all objectives and ongoing work responsibilities, but consistently goes the extra mile and is a role model.
Meeting expectations consistently	Performance is good or excellent; consistently meets expectations in relation to objectives and ongoing work responsibilities.
Development	Performance is below expected levels in one or more key areas / majority of areas. Development identified.
Unacceptable performance	Performance is below expected levels in majority of areas. Under formal performance management measures.

- 5.2 To achieve a performance rating of '**exceeding expectations**' or '**meeting expectations consistently**' the minimum criteria detailed below should be demonstrated:

- ✓ Participation in an annual Performance and Development Review (PADR) and a progress review in year
- ✓ Satisfactory conduct and performance
- ✓ Appraisal and mandatory training requirements met and in date
- ✓ Performance, as measured through achievement of objectives and competencies is judged to have met the required level
- ✓ Satisfactory demonstration of the Trust values and behaviours.

- 5.3 Those staff unable to demonstrate these criteria will be awarded either 'development' or 'unacceptable performance'.

If the member of staff received a Development or Unacceptable performance rating in their Appraisal but has completed remedial actions by their pay step review they will be able to progress to their next pay step. (See section 7)

6. REGULAR ONE TO ONE MEETINGS

- 6.1 All staff should have regular one to one meetings with a manager. Managers should ensure staff have a one to one meeting at a minimum of eight weeks to review performance, wellbeing and support required by staff. Managers should also ensure staff have appropriate clinical supervision where required. The length of the one to one meetings should be managed in accordance with the needs. On average one to one meetings will last 20 minutes to 1 hour.

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7. PAY PROGRESSION

7.1 New staff from 1 April 2019

From 1 April 2019 staff joining the Trust who are new to the NHS and existing staff that are promoted into a new role will be subject to a Pay Step Review meeting in order to progress through the pay steps within their band. Following the reform of Agenda for Change pay structure this review will take place prior to their pay step date and is in addition and separate from annual Appraisal process (please read Agenda for Change Handbook Annex 23 for more information)

7.2 To successfully complete the Pay Step Review meeting for pay progression, staff will need to ensure they have completed an Appraisal within the last 12 months and achieved an exceeding expectations or meeting expectations consistently rating, as well as being fully compliant with their statutory and mandatory training, not subject to any formal performance management processes and no live disciplinary sanctions on file on their pay step date. If the member of staff received a Development or Unacceptable performance rating in their Appraisal but has completed remedial actions by their pay step review they will be able to progress to their next pay step.

7.3 Appraisal ratings should be completed and the Pay Step Review will be completed via manager self-service on ESR. Managers will receive a notification when their staff's Pay Step review is due.

7.4 Staff whose performance is rated as unacceptable and have not completed any remedial actions will not receive a pay increase.

7.5 For staff employed before 1 April 2019

These staff will continue to progress through the pay step within their pay band on an annual basis until 1 April 2021 when they will be subject to the new Agenda for Change pay progression criteria set out above.

7.6 To successfully progress to the next pay point within their band staff will need to ensure they have completed an Appraisal within the last 12 months and achieved an exceeding expectations or meeting expectations consistently rating. Staff whose performance is rated as development or unacceptable will not receive a pay increase in the financial year in which the Appraisal takes place.

7.7 For staff employed before 1 April 2019, pay progression through the last two pay points in pay bands 8C, 8D and 9 is non-recurring and will be reviewed on an annual basis.

7.8 In addition, line managers will not receive incremental pay progression if, without good reason, they fail to carry out appraisals for all their team members.

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8. ROLES AND RESPONSIBILITIES

8.1 Managers are responsible for:

- Implementing this policy, ensuring that all staff are appraised on an annual basis.
- Ensuring that all appraisers with delegated responsibility for appraisal are appropriately trained/briefed.
- Ensuring staff are aware of the knowledge and skills requirements of the role as part of the induction process and work based objectives are confirmed at the end of the induction period.
- Ensuring staff receive regular feedback including recognition for work done well and addressing concerns when they arise.
- Ensuring staff are made aware of mandatory training requirements.
- Ensuring staff are made aware of the relevant documentation to be used in advance of their appraisal and given sufficient notice of the appraisal meeting (approximately 2-3 weeks).
- Agreeing work objectives and a career development plan annually as an outcome of the appraisal discussion.
- Recording individual performance appraisal and development reviews on the Trust 'Performance and Development Review Form' (or other appraisal form approved by Learning and Development) and updating the date of completion and outcome on the Learning Hub.
- Ensuring that Pay Step Review Meetings are arranged and conducted in a timely way.

8.2 Staff are responsible for:

- Their own performance and ensuring that they understand expectations in relation to work objectives and ongoing work responsibilities for their role.
- Actively participating in the performance and review process by preparing for the appraisal discussion, contributing to their Career Development Plan and actively applying newly acquired knowledge and skills within the role.

8.3 Human Resources and Organisation Development are responsible for:

- Delivering appropriate training and advice for both managers and staff in preparing for performance appraisal and development reviews.
- Monitoring and reporting completion of appraisals through use of the 'appraisal entry form'.
- Providing advice and guidance to both managers and staff with issues or concerns about performance management.

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9. FURTHER SUPPORT / DEALING WITH DISAGREEMENTS

- 9.1 If an employee has concerns about any part of the Performance Appraisal and Development Review or the Pay Step Review meeting process this should be discussed in the first instance between the individual and their appraiser. If there are still concerns these should then be raised with the appraiser's manager. The appraiser's manager, or another agreed individual, may be involved in the Performance Appraisal and Development Review if appropriate.
- 9.2 In the instance where disagreements arise and a subsequent appraisal review meeting is conducted, formal amendments to the appraisal record may be agreed based on relevant supporting evidence.

10. TIMING

- 10.1 All staff will have a formal Performance Appraisal and Development Review on at least an annual basis.
- 10.2 Managers will ensure that all appraisals take place during The Trust's appraisal season which runs from April – June (Quarter 1) each year.
- 10.3 **If someone starts outside the appraisal season**
If a member of staff starts a role outside of Appraisal Season the new member of staff should still have an Objective Setting Meeting; which should then be appraised during the next appraisal season.
- 10.4 **Staff on maternity leave or sick leave throughout the 'Appraisal Season'**
If an appraisal is due to take place when a member of staff is on maternity leave, managers should arrange to have an appraisal meeting before maternity leave begins. If this is impractical manager should carry out the appraisal when the member of staff returns to work, or utilise an employee's 'keeping in touch' day ensuring the member of staff has notice that this will take place. If a performance rating decision cannot wait until the appraisal takes place, the manager will apply the performance rating from the previous year. The manager should get the advice of the Employee Relations Team before taking action.

11. DOCUMENTATION

- 11.1 Annual Performance Appraisal and Development Reviews will be recorded using the Trust 'Performance Appraisal and Development Review (PADR) Form'.
- 11.2 Managers may adapt paperwork to meet local needs or confirm the appraisal discussion and outcome by writing a letter as long as the following areas are documented:
- Performance and progress on objectives for the previous year
 - Agreed objectives for the coming year
 - Feedback in relation to the Trust values and behaviours
 - Agreed development

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- 11.3 The appraisee should be made aware of the relevant documentation to be used in advance of their appraisal.
- 11.4 The appraiser and appraisee should each keep a copy of the completed documentation. The appraiser may share documentation with their manager (if they are not the appraisee's manager), and/or professional lead(s). Confidentiality of the record must be maintained within the appropriate supervision and management structure.

12. MONITORING

- 12.1 The number of Performance Appraisal and Development Reviews that have taken place will be reported on a monthly basis to Divisional Directors and the Performance Review Group and quarterly to the Trust Board.

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12.2 Audits will be conducted of sample Performance Appraisal and Development Review paperwork and process to review quality by the Workforce Directorate on an annual basis.

12.3 Overall responsibility for this policy rests with the Director of Workforce.

13. REVIEW

13.1 This policy will be reviewed on an annual basis.

14. LINKED DOCUMENTS

- [Pay and Progression Policy and Procedure](#)
- [Study Leave and Financial Support Policy](#)
- [Managing Work Performance Policy](#)
- [Induction Policy and Procedure](#)
- [Mandatory Training Policy](#)
- Performance Appraisal and Development Review Form
- One to One Meeting Template

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