



## Appraisal (Non-medical employees)

<b>Unique Identifier:</b>	CORP/POL/046				
<b>Version Number:</b>	8				
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<b>Divisional and Department:</b>	Human Resources, Workforce and Organisation Development				
<b>Author / Originator and Job Title:</b>	Anna Hobson, Leadership and OD Manager				
<b>Replaces:</b>	CORP/POL/046, Version 7, Appraisal (Non-medical employees)				
<b>Description of amendments:</b>	Changes to incorporate Annex 23 provisions Changes to refer to talent conversations Changes to incorporate ESR system requirements for recording and reporting appraisals				
<b>Approved by:</b>	Jayne Taylor, Workforce Business Partner –Clinical Support Services Division (Interim)				
<b>Approved Date:</b>	07/01/2021				
<b>Issue Date:</b>	07/01/2021				
<b>Review Date from Date of Approval:</b>	1 Year <input type="checkbox"/>	2 Years <input type="checkbox"/>	3 Years <input checked="" type="checkbox"/> 07/01/2024	4 Years <input type="checkbox"/>	5 Years <input type="checkbox"/>

### Version Control Sheet

This must be completed and form part of the document appendices each time the document is updated and approved

Date dd/mm/yy	Version	Author	Reason for changes
07/01/21	8	Anna Hobson	General review

### Consultation / Acknowledgements with Stakeholders

Name	Designation	Date Response Received
Sharon Adams Jane Meek Karen Levesley Tina Daniels Jayne Taylor	Interim Operational Director HR&OD Director HR Strategic Development L&D Manager E&D lead Workforce Business Partner	01/12/2020

## 1 Introduction / Purpose

The **purpose** of this policy is to ensure that the Trust has a clear, consistent and fair approach to appraisal.

The **overall aim** of the appraisal process is to maximise the effectiveness and potential of each member of staff so that the Trust successfully achieves its objectives and our staff feel valued and supported within their chosen careers.

The **objectives** of the appraisal process are to:

- Maximise performance and potential
- Reinforce the Trust's values and behaviours
- Acknowledge good performance, support areas for development and identify talent for the future to support succession planning
- Set objectives for the year ahead
- Encourage staff development
- To ensure that the Trust has an explicit and equitable system for incremental pay progression in line with Annex 23 (1)

It is a requirement of the Trust, for appraisals to be conducted for all non-medical staff on an annual basis. It is imperative to conduct appraisals in order to develop staff, recognise and improve organisational performance and to support managers in planning their team's workload, talent and performance. The talent conversation tool (MPCT) is to be launched in April 2021 and gives the manager / reviewer support to succession plan effectively. Performance related conversations should be conducted as part of the regular supervision meetings (e.g. 1-1s) as an ongoing process of which the appraisal meeting summarises these discussions. Therefore at the appraisal meeting; there should be 'no surprises'.

## 2 General Principles / Target Audience

The policy applies to all staff working for the Trust, with the exception of Medical staff for which there is a separate policy regarding appraisal.

## 3 Definitions and Abbreviations

appraiser	manager / reviewer
appraisee	staff member
PDP	Personal Development Plan
MPCT	Maximising Potential Conversations Tool

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## 4 Responsibilities (Ownership and Accountability)

### 4.1 Appraisee's are responsible for:

- Preparing adequately for their appraisal, completing the relevant sections of the electronic documentation in advance of the discussion
- Engaging openly and fully in the appraisal discussion
- Completing any activities agreed to address their development needs
- Attempting to achieve the objectives set during the appraisal discussion for the forthcoming year
- Informing their appraising manager promptly if circumstances change during the year which may affect either the achievement or appropriateness of their objectives or personal development plan
- Performing to a satisfactory standard, behaving in line with the Trust Visions and Values.

### 4.2 Appraisers are responsible for:

- Ensuring that formal appraisals are conducted for all employees on an annual basis within the appraisal window
- Ensuring that employees are given appropriate support to undertake the activities agreed during the appraisal
- Arranging a mutual date with the staff member for the appraisal to take place within the appraisal window
- Review the performance section prior to the appraisal, identifying any points for discussion regarding:
  - progress against any agreed objectives and Professional Development Plan (PDP)
  - their achievements; what they have done well
  - areas of excellent performance areas for development
- Completing the Trust's electronic appraisal documentation for all staff
- Competently using the appropriate skills of appraisal and giving effective, constructive feedback supported by evidence where relevant
- Conducting appraisals fairly and without discrimination
- Basing assessments on objective criteria supported by evidence where applicable, to justify the rating and ensuring that this would stand up to audit and / or appeal if necessary
- In the event of an employee's incremental pay progression being deferred, their line manager would be required to complete the relevant documentation and send this to the ESR team for the deferral to be activated on the employee's record.
- Succession planning by identifying and developing team members who have the potential and aspirations to replace critical roles internally when they become vacant.

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### 4.3 The Learning and Organisational Development team are responsible for:

- Providing training, support, advice and guidance for managers and employees on the appraisal process and electronic system whereby the Trust records appraisals.
- Supporting managers in the operation of the policy.
- Providing an appropriate and accessible programme of learning and development activities linked to their role in delivery of the Trust strategy.
- Providing appraisal compliance reports at a Trust-wide, divisional and departmental level.

The Trusts Appraisal lead is responsible for:

- Writing and maintaining the Appraisal Policy.
- Reviewing and updating the information held about appraisal on the Trust intranet.
- Ensuring all staff either attend an appraisal training session or have access to appraisal hints, tips and virtual refresher videos

## 5 Policy

### 5.1 Key Principles

- Both appraiser (manager) and appraisee (staff member) must prepare adequately for the appraisal discussion.
- All staff must have an appraisal and talent conversation every 12 months, this must be done in person (face to face) or via MS Teams.
- The Trust's formal e-appraisal documentation must be completed by the appraiser and the appraisee.
- Managers should meet regularly with their staff either individually and/or as a team in between the formal appraisal meeting to review their progression and to provide support where required. This must be documented and kept on file.
- Completion of annual appraisal will be recorded on the relevant appraisal system. Learning and Organisational Development will monitor that all staff have received their annual appraisal.
- Appraisers must ensure the learning needs identified for their appraisees are appropriately recorded and monitored on the appraisal system.

Both the appraiser and the appraisee are able to access and view the completed current annual appraisal via the appraisal system throughout the year and the previous years.

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## 5.2 Appraisal

- New staff must have a Personal Development Plan agreed with clear objectives (where applicable) during their local induction and these should be reviewed at appraisal
- All staff must have an appraisal on an annual basis, to provide an opportunity to discuss with their manager issues about their job and their performance. The focus of the discussion should be on their personal contribution to corporate / directorate objectives, the future of the role and the employee's development needs
- Appraisals will take place during the appraisal window which will be notified to staff in each year.

## 6 Annex 23 and Appraisals

With effect from April 01 2021, Annex 23 and Pay Progression guidance will affect all staff (1).

### NHS Terms and Conditions of Service 2018

- As part of the 2018 NHS pay deal, a new pay progression system will come into effect on 1 April 2019 for new starters or for those promoted to a new role on or after 1 April 2019.
- For all other staff who were in post before 1 April 2019, current organisational pay progression procedures will continue to apply until 31 March 2021, after which time they too will be subject to the new provisions.
- The 2018 framework agreement (2) on the reform of Agenda for Change (3) introduced provision to move to a new pay system, with the new pay progression framework set out in Annex 23.
- The new pay system will no longer include annually progression through pay points, but will move to a pay-step process, where pay-steps will only take place after two, three or five years depending upon pay band. Progress through pay-step points will not be automatic.
- As pay progression will no longer be annual under the new system, the first pay-step reviews will take place from April 2021, when staff joining or promoted after 1 April 2019 will reach their first pay-step dates.
- Appraisals will continue to take place annually and will underpin the new pay progression framework.
- The principles of appraisal as set out in this policy will apply to all staff and section 6 of this policy reflects the two different applications of pay progression.
- The policy will be reviewed prior to 1 April 2021, when all staff will transition to the new pay system.

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- 6.1 For staff who may not currently be affected (commencing an appraisal prior to April 2021) by the 2019 pay progression system, pay progression through annual pay points will be automatic, unless, as part of the appraisal process it is agreed that the individual has not met the performance criteria and pay progression will be deferred. The following principles apply in all cases where pay progression is deferred.
- A decision to defer pay progression can only be made for one 12 month period (up until the next incremental date). Performance over the following 12 month period will be reviewed in accordance with this policy and the relevant HR policies, such as disciplinary policy and procedure, workforce performance management policy and procedure. If formal concerns continue with an individual's performance, then pay progression can be deferred for a further 12 month period.
  - If a member of staff does not achieve one or more of the pay progression criteria by the date of their appraisal meeting, without an explanation deemed to be reasonable by the Trust, this will normally result in deferral of pay progression for 12 months, until the end of the next scheduled appraisal. For avoidance of doubt, the employee will remain on their current incremental point. There is no entitlement to back pay or accelerated pay progression if they subsequently achieve the criteria before their next review date.
  - Pay deferral will be discussed between HR and management prior to being sanctioned to establish a fair course of action.
- 6.2 For staff commencing NHS employment or promoted (moving to a higher banded role) on or after 1<sup>st</sup> April 2019 the new pay system will no longer include annual progression through pay points, but will move to a pay-step process, where pay-steps will only take place after two, three or five years depending upon pay band. Progress through pay-step points will not be automatic.
- 6.3 As pay progression will no longer be annual under the new system, the first pay-step reviews will take place from April 2021, when staff joining or promoted after 1<sup>st</sup> April 2019 will reach their first pay-step dates. Appraisals will continue to take place annually and will underpin the new pay progression framework and the appraisal principles set out in this policy will apply, with exception of pay progression.
- 6.4 Where a member of staff meets expectations from both a performance and behaviour perspective and does not fall into any one or more of the below categories, they will achieve a pay-step progression point within their banding.
- 6.5 **The following standard should be met to progress onto the next pay step point:**
- The appraisal process has been completed within the last 12 months and outcomes are in line with the Trust's standards.
  - There is no formal capability process in place
  - There are no live disciplinary sanction
  - Statutory and / or mandatory training has been completed

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- For those with line management responsibilities, the appraisal will also consider if all their direct reports have up to date appraisals in place.

6.6 It is expected that staff will achieve the required standards at the point of their pay step date. It is also expected that staff and their line manager should have regular discussions about any problems in reaching the required standards before the pay step date. This will allow time for issues to be raised and possible solutions found to enable the pay step point to be opened on time.

6.7 It is also expected that the appraiser will have the appropriate time, training and development including training on their equality responsibilities to equip them to carry out an effective and quality appraisal for their appraisee. Both the Appraiser and appraisee should take the time to prepare for and be familiar with the appraisal process.

## 7 References and Associated Documents

1. **NHS Employers.** Annex 23 Pay progression England. [Online] 2019. [Cited: 13 01 2020.] <https://www.nhsemployers.org/tchandbook/annex-21-to-25/annex-23-pay-progression-england>.

2. —. 2018 contract refresh. [Online] 2018. [Cited: 13 01 2020.] <https://www.nhsemployers.org/pay-pensions-and-reward/2018-contract-refresh>.

3. —. Agenda for change. [Online] [Cited: 28 10 2020.] <https://www.nhsemployers.org/pay-pensions-and-reward/agenda-for-change>.

4. **BTHFT - Policy.** Recognition Policy. [Online] 19 12 2007. [Cited: 13 10 2020.] <http://fcsp.xfyldecoast.nhs.uk/trustdocuments/Documents/CORP-POL-190.docx>. CORP/POL/190.

5. —. Mandatory Risk Management Training. [Online] 29 01 2015. [Cited: 21 01 2020.] <http://fcsp.xfyldecoast.nhs.uk/trustdocuments/Documents/CORP-POL-354.docx>. CORP/POL/354.

6. —. Attendance Management Policy. [Online] 2018. [Cited: 8 5 2019.] <http://fcsp.xfyldecoast.nhs.uk/trustdocuments/Documents/CORP-POL-011.docx>. CORP/POL/011.

7. —. Appraisal and Revalidation for Medical Staff. [Online] 2018. [Cited: 8 5 2019.] <http://fcsp.xfyldecoast.nhs.uk/trustdocuments/Documents/CORP-POL-504.docx>. CORP/POL/504.

8. —. Performance Improvement. [Online] 03 07 2020. [Cited: 17 09 2020.] <http://fcsp.xfyldecoast.nhs.uk/trustdocuments/Documents/CORP-POL-517.docx>. CORP/POL/517.

9. **BTHFT - Procedure.** Grievance Procedure – Seeking a Resolution. [Online] 23 07 2020. [Cited: 21 08 2020.] <http://fcsp.xfyldecoast.nhs.uk/trustdocuments/Documents/CORP-PROC-200.docx>. CORP/PROC/200.

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10. —. Disciplinary and Appeal Procedure. [Online] 20 01 2018. [Cited: 13 01 2020.] <http://fcsp.xfyldecoast.nhs.uk/trustdocuments/Documents/CORP-PROC-636.docx>. CORP/PROC/636.

11. **BTHFT - Strategy**. Equality Diversity and Inclusion. [Online] 26 06 2017. [Cited: 02 10 2020.] <http://fcsp.xfyldecoast.nhs.uk/trustdocuments/Documents/CORP-STRAT-001.docx>. CORP/STRAT/001.

12. **NHS Employers**. NHS Terms and Conditions of Service. [Online] 24 01 2020. [Cited: 18 02 2020.] <https://www.nhsemployers.org/pay-pensions-and-reward/agenda-for-change/nhs-terms-and-conditions-of-service-handbook>.

13. **Annex 23** <https://www.nhsemployers.org/case-studies-and-resources/2019/01/pay-progression-annex-23>

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Appendix 1: Equality Impact Assessment Form					
Department	HR&OD	Service or Policy	CORP/POL/046	Date Completed:	May 2017
<b>GROUPS TO BE CONSIDERED</b> Deprived communities, homeless, substance misusers, people who have a disability, learning disability, older people, children and families, young people, Lesbian Gay Bi-sexual or Transgender, minority ethnic communities, Gypsy/Roma/Travellers, women/men, parents, carers, staff, wider community, offenders.					
<b>EQUALITY PROTECTED CHARACTERISTICS TO BE CONSIDERED</b> Age, gender, disability, race, sexual orientation, gender identity (or reassignment), religion and belief, carers, Human Rights and social economic / deprivation.					
QUESTION	RESPONSE		IMPACT		
	Issue	Action	Positive	Negative	
What is the service, leaflet or policy development? What are its aims, who are the target audience?	The purpose of this policy is: <ul style="list-style-type: none"> <li>To ensure that the Trust has an explicit and equitable system for setting standards of performance, conduct and attendance, agreeing objectives with all non-medical employees and for monitoring and evaluating these regularly</li> <li>To ensure that the appraisal system is consistent with the principles of The Trust Way and aligned to the Vision and objectives, including the development of a Coaching Culture</li> <li>To ensure that all staff are properly guided, supported, trained and developed in order that they are able to perform their jobs in a safe manner, contribute to achieving the vision and objectives of the organisation and display the behavioural and attendance standards expected of them</li> <li>To encourage all staff to take personal responsibility for their performance, conduct, attendance and development</li> <li>To promote equality and diversity to ensure that all staff have the same opportunities for learning and development open to them (See Section 7).</li> <li>To ensure that the Trust has an explicit and equitable system for incremental pay progression based on the principles outlined in the NHS Knowledge and Skills Framework.</li> </ul> To describe how the appraisal process links with Talent Management and the Leadership and Management Style Questionnaire.				
Does the service, leaflet or policy/ development impact on community safety <ul style="list-style-type: none"> <li>Crime</li> <li>Community cohesion</li> </ul>	No				
Is there any evidence that groups who should benefit do not? i.e. equal opportunity monitoring of service users and/or staff. If none/insufficient local or national data available consider what information you need.	No				
Does the service, leaflet or development/ policy have a negative impact on any geographical or sub group of the population?	No				
How does the service, leaflet or policy/ development promote equality and diversity?	No				
Does the service, leaflet or policy/ development explicitly include a commitment to equality and diversity and meeting needs? How does it demonstrate its impact?	No				
Does the Organisation or service workforce reflect the local population? Do we employ people from disadvantaged groups	Yes				
Will the service, leaflet or policy/ development <ol style="list-style-type: none"> <li>Improve economic social conditions in deprived areas</li> <li>Use brown field sites</li> <li>Improve public spaces including creation of green spaces?</li> </ol>	No				

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<b>Appendix 1: Equality Impact Assessment Form</b>				
Does the service, leaflet or policy/development promote equity of lifelong learning?	No			
Does the service, leaflet or policy/development encourage healthy lifestyles and reduce risks to health?	No			
Does the service, leaflet or policy/development impact on transport? What are the implications of this?	No			
Does the service, leaflet or policy/development impact on housing, housing needs, homelessness, or a person's ability to remain at home?	No			
Are there any groups for whom this policy/ service/leaflet would have an impact? Is it an adverse/negative impact? Does it or could it (or is the perception that it could exclude disadvantaged or marginalised groups?	No			
Does the policy/development promote access to services and facilities for any group in particular?	No			
Does the service, leaflet or policy/development impact on the environment  <ul style="list-style-type: none"> <li>● During development</li> <li>● At implementation?</li> </ul>	No			
<b>ACTION:</b>				
<b>Please identify if you are now required to carry out a Full Equality Analysis</b>		<b>Yes</b>	<b>No</b>	<b>(Please delete as appropriate)</b>
<b>Name of Author:</b>	<b>A Hobson</b>	<b>Date Signed:</b>		<b>Oct 2020</b>
<b>Signature of Author:</b>				
<b>Name of Lead Person:</b>	<b>A Hobson</b>	<b>Date Signed:</b>		<b>Oct 2020</b>
<b>Signature of Lead Person:</b>				
<b>Name of Manager:</b>	<b>Jayne Taylor</b>	<b>Date Signed:</b>		<b>Dec 2020</b>
<b>Signature of Manager:</b>				

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