

## APPRAISAL AND PERFORMANCE REVIEW POLICY

<b>Document name:</b>	<b>Appraisal and Performance Review Policy</b>
<b>Document Classification:</b>	<b>Human Resources</b>
<b>Document No:</b>	HRSOS001
<b>Version:</b>	1.0
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<b>Date created:</b>	15 <sup>th</sup> April 2021
<b>Review Date:</b>	15 <sup>th</sup> April 2023
<b>Responsible committee:</b>	Operational Management Committee
<b>Superseded policy (if applicable):</b>	N/A
<b>Target audience:</b>	Directors, Managers, Clinicians, Staff
<b>Date published to internet site:</b>	
<b>Other relevant policies:</b>	Agency workers handbook

## **CONTENT**

**1.0 INTRODUCTION**

**2.0 SCOPE**

**3.0 PURPOSE**

**4.0 OBJECTIVES**

**5.0 EXPLANATION OF TERMS**

**6.0 APPRAISAL PROCESS**

**7.0 APPEALS**

**8.0 NEW STARTERS**

**9.0 LINKS TO RELEVANT NATIONAL STANDARDS**

**10.0 ROLES AND RESPONSIBILITIES FOR THIS POLICY**

**11.0 TRAINING**

**12.0 EQUALITY IMPACT ASSESSMENT**

**13.0 MONITORING THE APPRAISAL PROCESS**

**14.0 APPENDICES**

**15.0 APPENDIX 1: REGISTERED NURSE APPRAISAL FORM**

**16.0 APPENDIX 2: HCA APPRAISAL FORM**

## **1.0 INTRODUCTION**

In order to deliver a high quality service to our patients, service users and carers, SOS Medical Staffing recognises the importance of having skilled, competent and engaged staff. Appraisal is a key part of this and can have a significant impact on staff motivation and the quality of care delivered.

SOS Medical Staffing is therefore committed to ensuring that all staff receive a high quality, annual appraisal. This is achieved through an appraisal discussion between the appraiser and the appraisee to:

- Review an individual's performance, and any development undertaken
- Set objectives for the next 12 months, to support SOS Medical Staffing's aims and objectives
- Explore an individual's career aspirations
- Identify meaningful development needs, to support improved performance, the achievement of objectives, succession planning and career aspirations

A well planned and implemented staff appraisal ensures that all employees are aware of the objectives and values of the organisation and how they, as a member of staff can support these, although appraisal is not a substitute for good day to day management and managers should provide their staff with regular and ongoing opportunities for discussion, coaching and feedback to encourage and enable them to improve their development and/or performance.

## **2.0 SCOPE**

This policy applies to all staff groups employed by SOS Medical Staffing who itself has a duty of care to ensure that all staff groups are adequately and effectively managed.

## **3.0 PURPOSE**

The purpose of this policy is to outline the key principles and the of SOS Medical Staffing's approach and documentation for employee appraisals.

## **4.0 OBJECTIVES**

The key objectives of this policy are to:

Ensure all staff undertaking agency shifts with SOS Medical Staffing have a high quality appraisal annually.

Describe how SOS Medical will implement the appraisal process

Provide a simple framework around which appraisal discussions can be structured. (Appendix 1 & 2)

Ensure that individual's performance is actively reviewed

Ensure that all staff have clear, relevant and measurable work-related objectives, which support the delivery of a high quality service

Ensure all staff complete mandatory training and adhere to compliance requirements as stated in the Agency Workers Handbook

Support career and professional development and succession planning, as appropriate.

## **5.0 EXPLANATION OF TERMS USED IN THIS POLICY**

Appraisal – Meeting between an individual and their manager to review the individual's performance, to set work related objectives, and to identify meaningful development needs

Appraiser – The manager who undertakes the appraisal of another member of staff

Appraisee – The individual member of staff being appraised

KSF/ Knowledge and Skills Framework – Nationally developed NHS Framework, which describes the key knowledge and skills required by NHS staff

## **6.0 APPRAISAL PROCESS**

A time and date will be agreed by both parties

The pre-appraisal document will be returned by the appraisee no less than TWO WEEKS prior to the appraisal meeting.

The appraisal interview will be in private and without disturbances and will last approximately 1 hour. The appraisal discussion will focus on ensuring that a meaningful dialogue takes place between the appraiser and the appraisee.

This will be based on the pre-appraisal questionnaire completed and submitted to the Nurse Manager two weeks prior to the appraisal appointment. At present, due to Covid restrictions, these appraisals will be undertaken by virtual means. A link will be emailed to each member of staff prior to the appointment time.

An up-to-date job description will be included in the appraisal pack.

The Appraiser will review objectives and personal learning requirements prior to the meeting and discuss achievements and progress over the past 12 months and will identify any barriers that may have prevented the member of staff from meeting prior objectives.

The appraiser will identify areas for improvement, development and training, and set objectives for the next appraisal period and discuss the individual's contribution to SOS

Medical Staffing's team objectives. Area's covered in the appraisal will be:

Record of statutory/mandatory training

Training and development completed and agreed

Have values and behaviours expected by SOS Medical been met during the previous 12 months and what contribution has the employee made to the agency's objectives

Following your appraisal, the Appraiser will complete the performance appraisal section of the pre-appraisal questionnaire and give the staff member a copy to read and comment on.

Once agreed, a copy will be sent to the member of staff for signing and returning to the Nurse Manager. The summary and other appraisal documentation will be filed in your personnel file. All appraisal documentation is confidential.

The appraisee's performance, achievement of objectives, compliance of mandatory/specialist mandatory training and development needs will continue to be monitored throughout the year, by the appraisee and the appraiser.

A six monthly review of the agreed objectives should take place between the appraiser and appraisee as a minimum. Details of this review should be captured on the Appraisal Review Form section of the Appraisal Form.

All staff have the right to be treated fairly and consistently throughout the appraisal process.

Completing the paperwork:

The performance appraisal scheme has a standard template which are appended to this policy.

**Criteria of expectations are listed below:**

Exceeded

- All expectations in terms of objectives, competencies and values have been met and some will have been exceeded
- The appraisee will have demonstrated a consistent positive, flexible and proactive approach to their work
- The appraisee takes responsibility for their own performance and development.

Met:

- Consistently meets most expectations and some may have been exceeded.
- Where expectations have not been met this has been marginal. Reasons have been identified and addressed.
- The appraiser demonstrates a positive and flexible approach to their work and their development.

Partially Met:

- Some expectations will have been met or exceeded.
- Some expectations will not have been met and improvement is needed. Appraisee recognises and understands the reasons for this and is developing. (This may reflect an individual getting to grips with a new role.)
- The appraisee demonstrates a positive approach to their work and development.

Not Met:

- Consistently fails to meet some expectations. Immediate improvement is required.
- A formal development plan will have been agreed with the appraiser to achieve a minimum standard of performance to enable the appraiser to achieve in their role.

## 7.0 APPEALS

In the event that there is disagreement between the appraiser's rating of the individual's performance and the appraisee's rating of performance, this will be escalated to the next in line manager. If the Individual remains dissatisfied with the outcome and all efforts to resolve the matter informally have failed, the matter should be escalated to the formal stage of the Grievance Procedure. HR advice should be sought at an early stage where there is any disagreement.<sup>8</sup>

## 8.0 NEW STARTERS

New starters will have the appraisal principles and processes explained to them at local induction by the Nurse Manager.

This is important to ensure that all new starters are clear about what is expected from them. An initial appraisal will take place with all new starters after one month and again at 3 months of commencement of undertaking shifts, to measure initial performance in the role, set objectives, and identify areas for development.

All appraisals will be carried out within the framework of Equality and Diversity as outlined in the Agency Workers Handbook, supplied to each member of staff upon clearance to undertake shifts via SOS Medical Staffing.

## 9.0 LINKS TO RELEVANT NATIONAL STANDARDS

SOS Medical Staffing adhere to both CQC and RQIA registration requirements.

The appraisal process meets with The Department of Health, Social Services and Public Safety National Standards Nursing Agencies Minimum Standards, Section 1, Point 6.7 which states

***“There is a written training and development plan that is kept under review and is updated at least annually. It reflects the training needs of individual agency staff and the aims and objectives of the nursing agency”***

AND

CQC Regulation 18: Staffing

***“Staff must receive the support, training, professional development, supervision and appraisals that are necessary for them to carry out their role and responsibilities. They should be supported to obtain further qualifications and provide evidence, where required,***

***to the appropriate regulator to show that they meet the professional standards needed to continue to practise”***

CQC Regulation 19: Fit and proper persons employed

***“They must have a procedure for ongoing monitoring of staff to make sure they remain able to meet the requirements, and they must have appropriate arrangements in place to deal with staff who are no longer fit to carry out the duties required of them”***

The agency has procedures in place to ensure all staff are appropriately trained and qualified for their roles.

## **10.0 ROLES AND RESPONSIBILITIES**

### **The appraisee will:**

- Participate fully in the appraisal process. Refusal to participate in the appraisal process may be considered a misconduct issue.
- Complete the appraisal document (appraisee) in preparation for the appraisal meeting;
- Keep him or herself informed about what is expected in relation to the appraisal process;
- Ensure they keep up to date with their mandatory training and actively pursue the development identified within the appraisal.
- Work proactively to meet the objectives identified in the appraisal and flag to their manager as soon as is practicable any obstacles to satisfactory completion

### **The Appraiser will:**

- Ensure that each employee has an individual appraisal at least once every 12 months and reviewed on a 6 monthly basis
- Ensure that each employee has an up-to-date job description and person specification
- Ensure a two-way conversation and congratulate and praise the appraisee as well as support with further suggestions to improve performance;
- Check that the appraisee’s mandatory training record is up to date and take appropriate action should mandatory training need to be completed
- Provide the Compliance/HR team a completed copy of the appraisal document which has been signed by all parties (Appraiser & Appraisee);
- Meet regularly with individuals or as a team in between appraisal meetings If a member of staff is on long term sick leave, maternity leave or a career break it may not be possible to carry out their regular annual appraisal. In this case, a formal review should take place within an appropriate timeframe following their return.
- Produce an appraisal report, training needs analysis, talent and succession plan reports.
- Keep this policy and the associated paperwork up to date and be responsive to feedback from the annual staff survey in relation to appraisals;
- Record appraisal completion dates and updating the Executive Management Team;

- Produce an appraisal report, training needs analysis, talent and succession plan reports.

## 11.0 TRAINING

As per the Agency Workers Handbook, all mandatory training will be kept up to date.

Should any further training be required, it will be discussed with Senior Management Team to organise.

## 12.0 EQUALITY IMPACT ASSESSMENT

identify the policies aims	Answer
What are the main aims and objectives of the policy?	To provide a standard framework to address issues of staff performance in a fair and consistent manner, so staff are aware of the level of performance expected from them.
Who will be affected by it?	All staff, and service users
What are the existing performance indicators/measures for this? What are the outcomes you want to achieve?	To ensure that there is a fair and consistent approach to managing issues of staff performance relating to capability.
What information do you already have on the equality impact of this document? This policy will supersede the current procedures in place.	This policy will supersede the current procedures in place.
Are there demographic changes or trends locally to be considered?	No
What other information do you need?	None



## 13.0 MONITORING COMPLIANCE & EFFECTIVENESS

The appraisal process will be audited annually, employees will be given the opportunity to advise on the process.

### APPENDICES

#### Appendix 1.

#### Registered nurse appraisal form

#### ANNUAL APPRAISAL FORM – REGISTERED NURSES ONLY

<b>Name and Initials</b>	
<b>Job title</b>	
<b>NMC PIN Number and revalidation date</b>	
<b>Appraisers Name, Initials and job title</b>	
<b>Date for Review</b>	
<b>Sickness &amp; Cancellations in the past 12 months</b>	
<b>Number of patient/client complaints over the last 12 months</b>	

Staff Appraisals are a necessary aspect both for the member of staff being appraised and for the Nurse Manager and Senior Management team of SOS Medical and provide a basis upon which to improve services to employees and clients.

Please complete and return this Form to the Nurse Manager **at least 2 weeks** before the date of your appraisal appointment. The reasons for appraisal are as listed below:

- ❖ All members of staff understand the requirements and expectations of SOS Medical
- ❖ Staff are willing to improve their personal contribution to SOS Medical
- ❖ Staff want to help improve the performance and reputation of SOS Medical
- ❖ Staff are happy in their chosen assignments

Staff members should:

- ❖ Have a clearly defined role, supported by a current job description
- ❖ Be aware of their responsibilities and limitations

- ❖ Know the lines of management within SOS Medical
- ❖ Be aware of standards of work expected of them
- ❖ Be able to plan for future career developments
- ❖ Be able to meet the objectives of SOS Medical

Appraisals are established to achieve the points above through a structured discussion about performance and aspiration and is an annual process. New starters, however will be invited at one and three months after joining SOS Medical to discuss any early issues. The forms, completed by the member of staff, should be used as a guide for discussion during the appraisal. Timings of appraisals are agreed with the Nurse Manager.

**PERSONAL PREPARATION FORM**

This form is intended to help you:

- ❖ Identify your current job and its strengths and needs
- ❖ Consider your developmental needs and the needs of SOS Medical

To enable a productive appraisal, please look at the questions below and answer them as honestly as possible.

Please start by completing the table below by indicating how good you think you are in dealing with the following areas of activity:

	Excellent	Very good	Good	Moderate
Knowledge of job				
Ability to organise				
Solving problems				
Making decisions				
Relationships with colleagues				
Relationships with patients				
Ability to communicate				
Handling paperwork				
Verbal manner on phone and face to face				

**PLEASE ANSWER THE NEXT SET OF QUESTIONS AS HONESTLY AS POSSIBLE**

What are your key skills and areas of strength?

Has your job description changed in the last 12 months?

Which aspects of your job do you feel you do well?

Which areas of your job description have you found the most difficult and why?

In which aspects of your job do you feel you could improve?

Can you suggest any training which would help improve your performance, or has the lack of any skill or knowledge hindered your progress in meeting your job description?

What is your preferred method of learning new skills?

Have you had any difficulties carrying out your job?

Please list your main achievements over the past 12 months

Are there any additional skills developed elsewhere which could be applied to your job description with SOS Medical that are not currently used in your role?

Please list Mandatory training as per SOS Medical’s compliance governance, with expiration dates, and any other study leave undertaken in the last 12 months to help you with this.

**Mandatory training**

Name of training	Date of Expiration	Mandatory or other

What are your main developmental and updating needs for the next 12 months? Take time to consider what commitments may be necessary on your part to pursue your work interests.

Do you have any other ideas or suggestions for improvement in working for SOS Medical?

**PERFORMANCE APPRAISAL**

**To be completed by Nurse Manager and staff member during appraisal**

Registered Nurse Name:

**AGREED OBJECTIVES**

List below the objectives agreed in the appraisal. Make sure they are specific, measurable and have a realistic timescale.

**DEVELOPMENT PLAN**

The Nurse Manager and Registered Nurse will jointly agree and list below any training or other development needs which have been identified. Select the most appropriate activities for meeting the needs (e.g. training course, on-the-job training, work shadowing, reading, etc) and set a timescale.

**Confirmation of Indemnity insurance RCN / MPS**

**Yes/No**

(Please circle which indemnity insurer)

**We agree that this review and the plans in it are a true reflection of the appraisal.**

<b>Registered Nurse Signature/Print</b>	<b>Date</b>
<b>Nurse/Manager's Signature</b>	<b>Date</b>

**Appendix 2**

**HCA Appraisal Form**

**ANNUAL APPRAISAL FORM –HEALTH CARE ASSISTANTS ONLY**

<b>Name and Initials</b>	
<b>Job title</b>	
<b>Appraisers Name, Initials and job title</b>	
<b>Date for Review</b>	
<b>Sickness &amp; Cancellations in the past 12 months</b>	
<b>Number of patient/client complaints over the last 12 months</b>	

Staff Appraisals are a necessary aspect both for the member of staff being appraised and for the Nurse Manager and Senior Management team of SOS Medical and provide a basis upon which to improve services to employees and clients.

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- ❖ Staff want to help improve the performance and reputation of SOS Medical
- ❖ Staff are happy in their chosen assignments

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- ❖ Be aware of their responsibilities and limitations
- ❖ Know the lines of management within SOS Medical
- ❖ Be aware of standards of work expected of them
- ❖ Be able to plan for future career developments
- ❖ Be able to meet the objectives of SOS Medical

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Which aspects of your job do you feel you do well?

Which areas of your job description have you found the most difficult and why?

In which aspects of your job do you feel you could improve?

Can you suggest any training which would help improve your performance, or has the lack of any skill or knowledge hindered your progress in meeting your job description

What is your preferred method of learning new skills?

Have you had any difficulties carrying out your job?



Please list your main achievements over the past 12 months

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Name of training	Date of Expiration	Mandatory or other

What are your main developmental and updating needs for the next 12 months? Take time to consider what commitments may be necessary on your part to pursue your work interests.

Do you have any other ideas or suggestions for improvement in working for SOS Medical?

**PERFORMANCE APPRAISAL**

**To be completed by Nurse Manager and staff member during appraisal**

HCA Name:

**AGREED OBJECTIVES**

List below the objectives agreed in the appraisal. Make sure they are specific, measurable and have a realistic timescale.

**DEVELOPMENT PLAN**

The Nurse Manager and Healthcare Assistant will jointly agree and list below any training or other development needs which have been identified. Select the most appropriate activities for meeting the needs (e.g. training course, on-the-job training, work shadowing, reading, etc) and set a timescale.

**Confirmation of Indemnity insurance NISCC**

**Yes/No**

**We agree that this review and the plans in it are a true reflection of the appraisal.**

<b>HCA's Signature/Print</b>	<b>Date</b>
<b>Nurse/Manager's Signature</b>	<b>Date</b>

