Interim Appraisal Policy

Based on the Knowledge and Skills Framework (KSF)

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| **Title** | Title: Interim Appraisal Policy  
Version: 1_0  
Reference number/document name: |
|---|---|
| **Supersedes** | Supersedes: Legacy policies for Craigavon & Banbridge, Craigavon Area Hospital, Newry & Mourne and Armagh & Dungannon Trusts.  
Description of Amendments(s)/Previous Policy or Version: Harmonisation of the 4 legacy Trust policies. |
| **Originator** | Name of Author: Heather Ellis  
Title: Head of Education, Learning & Development |
| **RM/Policy Committee & SMT approval** | Referred for approval by: Heather Ellis  
Date of Referral:  
RM/Policy Committee Approval (Date) – 15th September 2008  
SMT approval (Date) – |
| **Circulation** | Issue Date:  
Circulated By: Heather Ellis  
Issued To: To all Trust staff via email from legacy Trusts nominated contacts and the Trust Intranet via the Communication Department. |
| **Review** | Review Date:  
Responsibility of (Name): Heather Ellis  
Title: Head of Education, Learning & Development |
Southern Health and Social Care Trust  
Interim Appraisal Policy

1.0 Introduction to Policy

1.1 The Southern Health and Social Care Trust (hereafter referred to as “the Trust”) is committed to ensuring that robust corporate governance arrangements are in place in the operation of its business.

1.2 The Trust is committed to Appraisal and regards this as an important component of the Trust’s governance process. It contributes towards organisation and service development and provides opportunities for each of member of staff to develop their potential.

1.3 The Trust will ensure that each member of staff knows what is expected of them including standards of conduct and performance required of them, this will be done through personal feedback from their line manager and set in the context of objective setting and review.

1.4 In support of this, the Interim Appraisal documentation has been based on the NHS Knowledge and Skills Framework (KSF). KSF defines and describes the knowledge and skills that Health and Social Care staff need to apply in order to deliver quality services. It provides a single consistent, comprehensive and explicit framework on which to base appraisal for staff. KSF is used to develop outlines for individual jobs. These outlines provide links to gateways for pay progression.

1.5 As part of this process, Continued Professional Development (CPD) will be discussed. Each individual profession will have their own requirements for this and reference should be made to these guidelines as appropriate.

1.6 The Trust is committed to supporting staff in their CPD and expects all qualified staff to undertake the necessary amount/levels of CPD as required by their profession. CPD is a personal commitment to keeping your personal professional knowledge up to date and improving your capabilities throughout your working life. It is about knowing where you are today, where you want to be in the future and making sure you have formulated a direction in association with your line manager in order to help you get there.

1.7 Also with reference to management standards Health & Social Care in Northern Ireland have adopted the NHS Leadership Qualities Framework (LQF) for all staff in Band 7 and above. The Leadership Qualities Framework has been developed to reflect the NHS culture and to provide a common language and approach that is relevant to all those working within a complex service. The model itself is succinct, intuitive and visual. The LQF comprises of 15 leadership behaviours and the model provides NHS staff with a means of analysing their leadership roles and responsibilities.

1.8 Other agreed competency frameworks may also be used for reference.
2.0 **Purpose and Aims**

2.1 The Southern Trust, through this policy ensures that staff have a strong and effective Appraisal which has a very positive effect on the individual’s performance, their development and that of the organisation and can therefore contribute greatly to the improvement and development of the services the Trust provides for its patients and clients.

2.2 Recognise achievements and provide help in overcoming obstacles to successful performance.

2.3 Through this policy the Trust will ensure the roll out of Appraisal and the KSF Framework across the organisation.

2.4 The Trust will ensure that all staff are clear about their responsibilities for staff development whether personal or in their role as a line manager.

2.5 Provide the basis for future training and workforce development strategies and plans.

2.6 Encourage the development of a flexible learning culture across the organisation.

3.0 **Policy Statement**

The Trust has an obligation to fully implement the Agenda for Change initiative. This policy ensures that there is a fair and objective framework in place on which to base the review and development of staff.

4.0 **Scope of the Policy**

This policy applies to all permanent staff and those on a fixed term contract other than Medical, Dental staff, and Directors for which there are separate arrangements.

5.0 **Responsibilities**

5.1 The Senior Management Team’s responsibilities are:

- To ensure all staff are appraised annually in accordance with the policy
- Ensure time and appropriate resources are allocated to support and deliver the policy
- To monitor the policy
5.2 The Appraisal Process

5.2.1 To assist Managers and staff with this process an Appraisal Policy Guidance Booklet is available. This includes documentation to be used for the Appraisal Process.

5.2.2 The process of appraisal begins with a focus on the review of an individual’s work in relation to individual, service and organisational objectives. This provides an opportunity to receive feedback from the line manager on work performance, ways in which performance can be sustained or improved, and have these laid out in the form of agreed objectives.

5.2.3 Discussion should be honest, open and positive. An individual’s strengths, successes and contribution to the service should be recognised explicitly alongside a consideration of areas in which they might need to develop or improve.

5.2.4 The framework provided in the appraisal documentation should be jointly considered. This should structure the discussion, enabling both parties to prepare for and contribute to the process.

5.2.5 A set of agreed objectives will be formulated from this discussion between the member of staff and the line manager. The action points supporting these objectives should be written using the SMARTER criteria (Specific, Measurable, Achievable, Relevant, Time-bound, Evaluated and Repeated).

5.2.6 The individual’s objectives should reflect those of the Organisation, Directorate and Team. Where improvement is not required objectives may focus upon both maintenance and innovation.

5.2.7 The personal development review element of appraisal focuses upon reviewing an individual’s skills, knowledge and experience, and how they are applied in relation to the requirements of their post using the KSF outline. Training and development needs are identified, ways in which these needs can be addressed are discussed and set out in the form of a Personal Development Plan (PDP).

5.2.8 Development review is a cyclical process that comprises of four stages –

- A joint review between the individual and their line manager (or another person acting in that capacity) of the individual’s work against the demands of their post, as set out in the KSF outline for that post.

- The formulation of an agreed PDP that identifies the individual’s learning and development needs and interests.

- Learning and development by the individual, supported by their manager.

- Evaluation of the learning & development that has occurred and how the individual has applied it in their work.
5.2.9 For staff already in post the development review process is an integral part of appraisal, for staff new to post the development review process should begin as soon as they start their post in preparation for the Foundation Gateway.

5.2.10 Outlines developed for posts within the Trust are available from the HR Department. It is only these outlines that should be used in the appraisal process. The Education, Learning and Development department should be contacted and the outline checked when preparing for an appraisal to ensure that the current outline is used. These outlines will be reviewed and further developed and are therefore liable to alteration. It is the responsibility of both parties to obtain the relevant and up to date outline as part of the preparation for an appraisal. However, in the event of an outline not being available the ELD Department should be contacted for guidance.

5.2.11 The appraisal evaluates the individual’s application of knowledge and skills in their work, using the KSF outline for the post as the basis for the discussion. Demonstrable knowledge and skills evident in a person's work will be considered in relation to all the dimensions included in the outline.

5.2.12 A Personal Development Plan (PDP) is formulated from this appraisal. This identifies the areas an individual needs to demonstrate more fully and the help they need to develop in order to achieve the required level for their post.

5.2.13 PDP will focus initially upon enabling an individual to meet the demands of their current post as described in the KSF outline. Once this has been achieved a PDP should enable an individual to maintain their knowledge and skills; developing them to meet any changing requirements, and facilitate an individual's further development within or beyond their current post, considering both individual and organisation needs and aspirations.

6. Evaluation & Review

6.1 Managers are required to monitor that the above policy is implemented and that regular follow up is in place to ensure appraisal is completed for all staff groups. The policy will be monitored Trust Wide by Education Learning & Development staff. Reports will be forwarded to the Trust Senior Management Team as required. Audits may be undertaken periodically to inform other bodies e.g. DHSSPS of progress.

7.0 Equality and Human Rights Considerations

7.1 This policy has been screened for equality implications as required by Section 75 and Schedule 9 of the Northern Ireland Act 1998. Equality Commission guidance states that the purpose of screening is to identify those policies which are likely to have a significant impact on equality of opportunity so that greatest resources can be devoted to these.
7.2 Using the Equality Commission's screening criteria, no significant equality implications have been identified. The policy will therefore not be subject to equality impact assessment.

7.3 Similarly, this policy has been considered under the terms of the Human Rights Act 1998, and was deemed compatible with the European Convention Rights contained in the Act.

7.4 This document can be made available on request in alternative formats, e.g. plain English, Braille, disc, audiocassette and in other languages to meet the needs of those who are not fluent in English.

8.0 Copyright

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