

Guidance Documents: Appraisals

How to prepare for an Appraisal – guidance for appraisers and appraisees

Why do we do appraisals?

The delivery of high quality patient care critically depends on every member of staff having a clear understanding of their role and the part they play in their team and organisation. In addition to this, they should also have an agreed set of priorities and objectives for their work and possess and be able to apply the knowledge and skills they need to perform their role safely and effectively. Staff should demonstrate behaviours that align with PC24 values & behaviours.

It is mandatory for all staff employed by PC24 to have an appraisal at least once a year. Annual appraisals are monitored by PC24 and monthly reports are sent to the PC24 board.

This is also an excellent opportunity to discuss achievements and aspirations.

How can I prepare?

Notes for Appraisee

Be aware of organisational objectives – familiarise yourself with the organisation's Vision and Values. This will help your appraisal discussions with your manager about your objectives and development and demonstrate how you contribute to the overall objectives of PC24.

Understand the appraisal process - ensure that you know what PC24's appraisal and personal development process is and what your job role is.

Ask your manager or find the paperwork on the Intranet.

Section 1: Preparation

Take time to prepare – put some time aside to prepare for your appraisal to think about your performance and development needs. Preparation should include considering the questions on the appraisal form before your appraisal meeting. You

may fill in the form if this helps with your discussion but you should be able to talk to your manager about your accomplishments, developments, any issues that you found challenging and outstanding objectives you have not yet achieved. It may be useful to keep a note book somewhere to jot things down as you may forget.

Get actively involved – this is your opportunity to show your manager what you have done and that you are active in taking control of your development and contribution to the overall achievements of PC24. Take an active part in reviewing your own performance. You know more about your performance than anyone else, including your manager. The more you put into the appraisal, the more you will get out of it and expect to do a lot of the talking.

Be honest about development needs – identify the areas that you need to progress and think about what you can do, so you can agree your development plan.

Think about your health and wellbeing. Is there anything you would like to do differently that could contribute to better health? From 2021 this will be a required part of your appraisal. If all is well please say so. The discussion will be about what you can do to improve your physical and mental HWB. It is not designed to be a counselling session. If you are experiencing problems and need help, don't wait for your appraisal, talk to your manager about this. If you would like to lead on a HWB initiative this is a good time to discuss what this would look like and if it can be done.

Have a look at your job description. Has your job changed significantly over the past year? Be ready to talk about how you think this has impacted on your learning needs.

Section 2

Review your previous objectives. Were they challenging but manageable? Too challenging, too easy? You should already have discussed this with your manager throughout the year but if not, be ready to do so at the meeting.

You may be asked to write up your own appraisal and objectives following discussion with your manager. This is your appraisal and you should take control. When you have written your objectives, share these with your manager and they will submit your completion of appraisal documentation. Revisit it regularly and ask your manager if you need help with your objectives. If your manager is writing them on your behalf make sure you understand what is expected.

Section 3

Make sure you are up to date with mandatory training. You will not be able to do any further development until this is up to date. Mandatory training is vital as it keeps us and our patients safe.

Section 4

This section only applied to practicing clinical registrants.

Section 5, 6 and 7

These are sections that can be drafted in the meeting and completed afterwards but you should have some thoughts about what you want to include. This is particularly relevant if you are looking for development opportunities. You can research what is available for speak to the HR team for suggestions.

Following your Appraisal

Record your progress - try to keep a record of how you are doing on your objectives and personal development as the year progresses. This could include notes, emails and comments or outcomes that demonstrate your performance and development level, and your development needs.

Update on progress – ensure you keep your line manager/appraiser updated on progress or any problems or changes that might affect your performance or development throughout the year. Take the initiative and start the discussions – your line manager/appraiser will welcome your views. This doesn't have to be a formal meeting. Frequent chats at your desk or in the kitchen are the most effective ways of constant updating.

Review if role changes - if your role or personal circumstances change significantly during the year, ensure you meet your manager and review your objectives and development needs. This can be part of the discussion about your new role and can help you with any needs you have.

Keep your objectives and development plan to hand – they are meant to help you reflect and focus on your activities throughout the year and ensure that any agreed development actions are carried out. You may need to remind your managers about these.

Check mandatory training needs - it is essential that you keep yourself up-to-date with the requirements for your mandatory training, including any subsequent updates.

Notes for Appraiser (manager)

Prepare for the meeting.

This is your opportunity to engage with your member of staff on their personal development and achievements. This meeting should be a summary of informal meetings throughout the year and should not be used for performance management. Any issues arising throughout the year should be dealt with at the time.

Give the paperwork and copy of guidance to the appraisee so they can prepare.

Review the Job Description. Does it still reflect the role the appraisee is doing?

Familiarise yourself with PC24, Service Delivery Unit and Team objectives, and PC24 Values & Behaviours.

Think about examples that could be used as evidence of performance. Keep notes and give immediate feedback throughout the year that you can summarise.

Gather feedback on performance, objectives and development needs from individuals other manager(s) if they have more than one.

Make notes if this helps.

Arrange the meeting in good time, and allow at least 1.5 hours in a suitably private environment. Do not cancel unless absolutely unavoidable. This demonstrates that you respect and value your team.

Plan how you will discuss progress with the appraisee. Think about some open questions to get them to talk. Try to get them to tell you rather than you tell them.

Section 1

How will you prompt the appraisee? Do you have any examples that would be useful?

From 2021, all staff should have a wellbeing conversation with their managers a least once a year. Ask them about their Health and Wellbeing. Could the organisation do anything different to improve this and lead to better engagement, patient satisfaction, attendance and productivity? Don't forget to ask about mental health. If you would like some guidance on how to have a conversation about mental health, please contact the HR team or complete the REACT online training; however, this is not designed to be a counselling session. It is more about asking your appraisee what they think they can do to improve their HWB and whether they need signposting to any additional help to be able to achieve this.

What would you like to celebrate with them?

Section 2

This should be reviewed throughout the year. Again prompt the appraisee to feed back to you and encourage them to take responsibility for their objectives.

You do not need to write anything at this stage if you do not feel it is necessary.

Section 3

Ensure you are aware of the status of the mandatory training of the appraisee.

Section 4

Do not send this to non-clinical staff.

Ensure you have seen all of the required information if you have clinical appraisees.

Section 5

See below for notes on setting SMART objectives but have some idea what you will be asking the appraisee to achieve, particularly in light of any service changes.

Section 6

Think about what types of training are available and suitable. How would you prioritise? You can speak to the HR team for suggestions.

Section 7

Be prepared to be honest about your assessment and if possible get the appraisee to suggest first where they feel they are. If you disagree you can ask them why they have ranked themselves where they do (above or below your assessment) and ask for evidence. Workshops or mentoring on how to have a difficult conversation are available through HR.

In the Meeting

THE IMPORTANT THING IS THE CONVERSATION, NOT THE PAPERWORK

Review the past year, asking the appraisee what they think first. Ask them to tell you what went well and what they would do differently if they had the chance.

Use open questions to encourage them to talk. Guide the conversation to ensure you focus on their contributions or lack of progress, asking them to reflect on causes.

Ensure due recognition is given.

Ask them for evidence on how they have upheld the Values.

Provide an appropriate balance of constructive feedback – with examples where possible.

Update appraisee with any organisational changes or changes to team or service.

Revisit the importance of the appraisee's role and how it contributes to overall objectives.

Ensure mandatory training is up to date.

Using preparation above, agree SMART objectives and PDP with the appraisee.

Agree with the appraisee who will write up the objectives. Preferably this should be the appraisee as it is their appraisal. Agree a date for final agreement, ensure you and appraisee have a copy and submit for recording.

Collate learning needs of the team or discuss with your HR Manager.

Further guidance for managers and leaders:

There are many other resources available to managers and leaders when preparing for appraisals. The NHS Leadership Model is for everyone, not just those who have formal leadership responsibility. The document illustrates the leadership behaviours expected for all staff in healthcare, and it may assist when carrying out appraisals, especially when completing the personal development plans.

<http://www.leadershipacademy.nhs.uk/resources/healthcare-leadership-model/>
<http://www.leadershipacademy.nhs.uk/resources/healthcare-leadershipmodel/supporting-tools-resources/healthcare-leadership-model-self-assessment-tool/>

NHS Employers website contains many tools and documents regarding the importance of appraisals related to staff engagement and patient care.

www.nhsemployers.org.uk

PC24 provides training for all managers and appraisees on how to get the best out of your appraisal. Refer to the HR team for information.

Information can also be accessed via The King's Fund paper: 'Developing Collective Leadership for Health Care' (West, Eckert, Steward & Pasmore, May 2014):

http://www.kingsfund.org.uk/sites/files/kf/field/field_publication_file/developingcollective-leadership-kingsfund-may14.pdf This paper outlines the importance of a culture of collective leadership within an organisation, which means that everyone takes responsibility for the success of the organisation as a whole. All staff need to focus on continual learning and the improvement of patient care, which requires dialogue, debate and discussion to achieve a shared understanding about problems and solutions. This can be done via the appraisal process, where vision and mission statements should be translated into clear, challenging objectives at all levels of the organisation, from the board to frontline teams and individuals.

How to set SMART Objectives

Why set objectives?

Objectives help clarify what level of performance is expected from the appraisee during the review period and in doing so they help staff focus and prioritise.

Objectives should be linked to department, service line and PC24 objectives to ensure staff are working towards a common goal.

Agreeing individual objectives should be a joint process, ensuring the appraisee clearly understands what is expected of them in their role and they are committed to delivering them.

It is advised that an employee should have between 3-5 broad objectives at any one time. There may be a number of underpinning actions under each objective.

Objectives should meet the SMART principles:

Objectives should be challenging and recognise that people grow and develop. Certain objectives can be used to 'stretch' an employee providing a sense of achievement to the individual once their objective has been achieved. Stretch objectives should be achievable but challenging.

How to set Objectives

SMART = Specific Measurable Achievable Relevant Time bound

Specific: Outline exactly what is to be accomplished and detail the outcome to be worked towards. If a stranger read this, would they understand what had to be done? If you have problems describing it, think about what it will look like if it is achieved.

Eg Produce pivot tables to demonstrate causes and frequency of sickness absence.

Measurable: How will you know the objective has been achieved, can performance be quantified and assessed?

Eg accurate pivot tables produced and available for manager feedback and reports.

Achievable: Make sure the objectives are achievable and attainable whilst challenging individuals. Can the objective be achieved if the right resources are in place?

Staff member has basic understanding of Excel so this is building on current knowledge and skills and moving from basic level of operation to a more complex level. It is building on current skills as the employee can already use Excel. Training and support is available in the form of an Excel expert to demonstrate the process, and support with the production of reports until staff member is confident.

Relevant: Is it relevant to the individual and their role and is it aligned to the organisations goals?

Eg the staff member wants to help their managers understand their sickness absence better. Gaining this skill will help to demonstrate causes and frequency of absence in a variety of ways using the same data set.

Time bound: Agree the date by which outcome must be achieved, identify key milestones for larger projects and pieces of work.

Eg learn how to use Excel to manipulate data set with assistance month 1; produce tables with assistance month 2; produce tables independently month 3.

The objective would read:

Be able to produce accurate pivot tables for managers which demonstrate causes and frequency of sickness absence to be available for the Q4 performance meetings.

Setting Team Objectives

The organisation might be shifting its goals and strategies. This could require changes in how teams are required to work together, where they need to focus their efforts and how team leaders communicate these changes to them. The team objectives should be aligned to those of the service line, which in turn should link to PC24 overall objectives. This ensures that everyone is working towards a common theme as individual objectives will then link directly into the team objectives.

PC24 Objectives: This is the corporate plan which sets the vision & defines top level plans, both financially & strategically.

Departmental/ Service Delivery Units' (SDU) Objectives: This is the work that will contribute to achieving PC24 strategic objectives.

Team Objectives: These identify the tasks each team must achieve to ensure the Service Delivery Units' (SDU) meets its objectives.

Individual Objectives: Align the objectives for each member of staff to PC24's objectives so that staff can see how their role contributes to the organisation's objectives.

Personal Development Plan

What is a Personal Development Plan?

A Personal Development Plan (PDP) for the year will address the learning needs (sometimes called learning objectives) that have been agreed at the appraisal. It

should include some learning activities that will help gain new knowledge and skills or maintain and update current level of knowledge and skills used in the job. These are in addition to mandatory training requirements which must be completed before commencement of additional training.

What sort of Learning Activities can be included?

Learning activities could be 'on the job' learning or sometimes they may need to be formal 'off the job' learning. Be imaginative on how learning can be achieved. It does not have to be formal classroom learning and often, learning through experience is the most effective approach. It may be as simple as improving HWB or learning about the Values or as complicated as completing a master's degree.

Some examples of on and off the job learning include:

- North West Leadership Academy leadership courses, some online and some are free. These range from entry to Director level.
- NHS Employers website contains an extensive range of tool and resources.
- NHS Trusts in the region may be happy for you to join in their taught courses.
- Websites and e-learning programmes have extensive materials that can be accessed remotely.
- Shadow, job swap or act up into a different role.
- In-house development workshops.
- Formal education courses/ apprenticeships.
- Coaching and/or Mentoring.
- Off the job instructor lead/classroom events.
- Books or journal articles.
- Teaching or facilitating an event or workshop yourself.
- Networking events & conferences.
- Stretch assignments and projects.

Useful questions to ask when exploring a development plan

What motivates you and makes you feel valued at work?

What are the ways to raise your performance levels even higher to be seen as outstanding in what you do?

What holds you back at times? Are you aware of anything that holds the team back?

Where might your next career steps take you?

How do you think we can increase your exposure to demonstrate your capabilities?

What can you do to manage constraints/barriers to your progression?

Do you feel informed and involved in the organisations decision-making?

What are you most proud of?

What has been difficult and disappointing this year?

What have you learned this year?

What do you need to focus on for next year?

What are your development needs for next year?

Complete the PDP

Use the information that you have discussed to identify the development needs.

Try to be specific about the learning/development aims – explicitly state how these goals will be achieved.

Remember a PDP is not a ‘wish list’ – the learning/development aims must support the needs of the service or team, as well as the individual; however, it may be beneficial to bring along any potential learning aims for discussion.

Think about long-term goals as well as the more current objectives, but prioritise each developmental need, which is essential if you are seeking funding. The development priorities are: essential to role, service development and personal development.

All staff require a personal development plan, and the information from these will inform PC24 learning and development plans. This will help to identify where funding may be required or what in house learning can be developed. Managers should compile a list of training needs to be submitted to HR.

The PDP is reviewed annually as part of the appraisal process, but should be reviewed more often.

Managers and staff can refer to HR for additional information on courses available.

Personal Development Plan and Review

Below is an example of a completed PDP. Please note that this is purely for information only and that each individual review will be different. This is an example:

Process:

Discuss options of how to meet the development needs taking into account time available, ability of staff member, additional constraints (carer, able to travel,

disability etc) How will these be addressed? No one should be disadvantaged because of additional requirements.

Explain what action will be taken, and what resources will be needed and what the possible outcomes are of people not attending training.

Agree what the outcome will look like: what will be different when development is achieved.

Agreed review date.

Example:

Development need:

Jane would like to develop her customer service skills to ensure that she is delivering the best service to patients, visitors and colleagues.

Learning Intervention:	Date for completion of Training:	Outcome:	Date for assessment of completion of development need:
Attendance at an in-house Customer Care course. Jane to check for dates, then inform her manager.	August/September	Enhanced quality of customer care Behaviours modelled in workplace Assumes role as customer care champion.	December

If you have any queries or need additional support please contact HR.

Submission.

Sign, date, scan and send the front sheet or your appraisal to training@pc24.nhs.uk