

STAFF APPRAISAL POLICY	
Summary statement: How does the document support patient care?	By ensuring that there is a framework where the performance of staff is assessed to ensure they continue to have the right attitudes and behaviours, skills and competencies
Staff/stakeholders involved in development: <i>Job titles only</i>	Workforce Managers Policy Discussion Group
Division:	Organisational Development and Leadership
Department:	Human Resources
Responsible Person:	Director of HR
Author:	Divisional HR Adviser
For use by:	All staff
Purpose:	<i>To ensure staff performance is assessed and measured</i>
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Key related documents:	NHS Knowledge Skills Framework (KSF) NHS Constitution HR policies Professional codes of practice Francis Report
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1. PURPOSE

- 1.1** The University Hospitals Sussex NHS Foundation Trust is committed to its vision “We Care”. The Trust believes that to achieve this it is essential to have a skilled workforce with the right values, attitudes and behaviours, putting care and compassion for patients at the forefront of all they do and striving to work together to deliver excellence in everything we do.
- 1.2** The Patient First programme sets out the approach to continually improve the care provided for patients. One of the strategic themes underpinning this approach is “Our People”. The Trust will support all individuals whether a member of staff, a bank or agency worker or volunteer to fulfil the requirements of their role, perform their duties to the expected standards and ensure the patient is at the heart of everything we do.
- 1.3** During the recruitment stage of the employment cycle we ensure that we only select staff who are able to demonstrate the values and behaviours we believe are crucial to caring for our patients and delivering our vision. This requirement is also extended to organisations who work with us.
- 1.4** We believe that all our staff should be:
- Kind, friendly, respectful, professional, compassionate and can work as a team
 - Have the clinical and technical competencies required to do their job
 - Committed to striving for continuous improvement

The importance of these qualities and skills are reinforced during the induction and orientation period of employment. The appraisal process is then key in ensuring these behaviours are embedded throughout the organisation and provides ongoing reinforcement and support for all staff in achieving them.

- 1.5** In order to deliver the best quality care, it is important that throughout employment, all staff, regardless of the role they are undertaking, are aware of their unique and valuable contribution in providing an excellent patient experience and are able to maximise that contribution. To do this staff need to be clear about expectations, have constructive and honest feedback and the support to constantly improve.
- 1.6** The purpose of this policy and accompanying procedure is to set out a framework whereby all staff continue to demonstrate the right values, attitudes and behaviours and have up to date and appropriate knowledge and skills to undertake their role.
- 1.7** We believe that it is essential to have a skilled workforce with the right values, attitudes and behaviours who seek to continually improve the experience for our patients by working collaboratively and constructively with colleagues. Staff are expected to demonstrate the appropriate behaviours and attitudes that contribute to an organisational culture where the

patient is front and foremost. The procedure contained in Appendix A provides a framework to support the mandatory annual appraisal process.

2. SCOPE

- 2.1** This policy and accompanying procedure applies to all non-medical staff and workers at the Trust including permanent and fixed term employees and bank workers. There is an addendum related to senior staff and their specific leadership roles.
- 2.2** In addition to the appraisal process, Nurses and Midwives are required to complete a Revalidation process every 3 years. This appraisal policy and procedure should be read in conjunction with the information on the Revalidation and Appraisal Process for Nurses and Midwives which can be found on the staff intranet or from the Practice Development Team.
- 2.3** The appraisal process for Medical staff is set out in the Trust's Medical Appraisal and Revalidation policy. Whilst the same values, attitudes and behaviours are expected of Medical staff the procedures differ due to the professional arrangements related to revalidation.
- 2.4** The appraisal process for senior staff in the Trust e.g. Executive Directors, Non-Executive Directors, Senior Staff (all staff on band 8d and above and/or reporting to an Executive Director), and all staff with a specific leadership component to their role will follow these principles. Separate arrangements aimed at developing objectives that strengthen the focus on all aspects of leadership have also been developed including the opportunity for multi-source feedback.

3. PRINCIPLES

- 3.1** The Staff appraisal will consist of three elements:
- Performance assessment against the values and behaviours of the Trust.
 - Performance assessment against work objectives.
 - A review of the knowledge and skills required which will then be used to inform a Personal Development Plan (PDP).
- 3.2** A Staff appraisal will be conducted such that:
- All staff have an opportunity for an open, honest and positive two-way, face to face discussion with their line manager/supervisor to review their performance over the past year.
 - Staff are given equal opportunity to develop the required attitudes, behaviours, knowledge and skills that they need to perform effectively.

- All individuals should be clear on how they can contribute fully towards the Trust's vision, corporate objectives (also known as True North and breakthrough objectives) and delivery plans. This will be achieved by setting specific, measurable, agreed, realistic and timely personal objectives.
- There should be a clear link demonstrating how individual objectives fit in to the overall Trust's strategic themes i.e. Patient Experience, Quality Improvement, Our People, Sustainability, Systems and Partnerships.
- Pay progression will be linked to performance and will occur when individuals demonstrate the expected standards required for their role and that support excellent patient experience. This includes values, attitude and behaviour. For individuals responsible for leading, managing and supervising other staff, pay progression will also be linked to supporting excellent staff experience. This means engaging, involving and valuing staff in a manner that supports their continuous improvement to the delivery of health care.

3.3 Managers must ensure that Trust objectives are disseminated in a timely manner and interpreted at a local level so that individual members of staff are clear about their objectives and what they need to achieve. They also need to be given every opportunity and support to deliver their objectives.

3.4 The Trust's standards of behaviour explicitly describe to staff what is expected of them in all of their interactions with others. This will ensure that the Trust's vision "We Care" is translated into the everyday experience of patients, visitors and colleagues from the beginning to the end of their contact with us.

3.5 The appraisal process should begin on appointment and follow shortly after the member of staff has completed their corporate and local induction and period of orientation (i.e. at around 3 months). This will help to reinforce what values, attitudes and behaviours are expected, give clear direction on key objectives and priorities to be achieved and provide an early opportunity for any immediate development and training needs to be identified. This should continue throughout employment with regular one-to-ones or informal meetings to discuss and review individual progress.

3.6 An appraisal is the opportunity for a member of staff to spend protected time with their line manager or appraiser where:

- achievements in the last 12 months are recognised and acknowledged.
- the values, attitudes and behaviours required and demonstrated are discussed.
- the individual's ongoing and future contribution to the organisation, service, the team and in particular patient experience is discussed.

- areas for personal and professional development are agreed to ensure the necessary knowledge, skills and behaviours are acquired and retained.
- Feedback on overall performance can be provided and confirmation of whether there will be progression to the next incremental pay point.

3.7 An appraisal should not be a substitute for good day to day management and managers should provide staff with regular and ongoing opportunities for discussion, coaching and feedback to encourage and enable them to improve their performance. This is particularly important at times of service re-configuration for staff who are changing department; team and/or specialty.

3.8 There should be no 'surprises' at the appraisal meeting.

3.9 If during the appraisal process issues regarding performance are recognised; these should be addressed through supervision and the appropriate Trust policy (e.g. disciplinary, capability or health and wellbeing).

3.10 For staff on secondment, maternity, paternity or adoption leave, long term sickness or a career break, the appraisal process should be scheduled to take account of individual circumstances. Where absence is planned, a short appraisal meeting should take place beforehand where performance to date can be reviewed and can then be used to support the return to work.

3.11 Stay Interviews

3.11.1 Stay interviews are a key tool that supports the appraisal process and should be conducted throughout an individual's employment. They help to establish what a member of staff likes and dislikes about their work and can highlight any potential triggers that may cause an individual to consider leaving.

3.11.2 A Stay Interview is an informal discussion between an individual and their line manager to determine many of the questions that an exit questionnaire would determine, but with retention in mind. They provide an early indicator if an individual's needs and expectations are not being met in order that they can be addressed.

3.11.3 The very act of engaging with staff and giving them the opportunity to communicate what is important to them lets staff know that they are appreciated and highly valued.

3.11.4 If you know why an individual stays, these factors can be reinforced and disseminated. If you know far enough in advance what factors might cause an individual to leave, you can get a head start in ensuring that any triggers are minimised or eliminated.

3.11.5 Managers Guidance Notes for Stay Interviews are available on the staff intranet and a summary of the information can be found in the Procedure for Conducting an Appraisal (Appendix A).

4. MONITORING AND REVIEW

- 4.1** Appraisal compliance rates are reported monthly at a divisional and Trust wide level.
- 4.2** The Trust's Executive Committee is responsible for monitoring compliance with the Trust's appraisal target.
- 4.3** Divisional Management Teams are accountable, through the Strategy Deployment Reviews, for ensuring the quality of the appraisals for all staff in their areas of responsibility and for compliance of the appraisal target.
- 4.4** Managers are responsible for submitting the dates of completed appraisals for their staff via the monthly workforce reports so that these can be recorded on the Electronic Staff Record (ESR).
- 4.5** The Trust is responsible for ensuring that all staff are appraised in accordance with this policy and accompanying procedure. This is a key performance indicator for managers and will be monitored through monthly performance reports.
- 4.6** The national NHS Annual Staff Survey provides data indicating the uptake and quality of the appraisal and personal development plan.
- 4.7** This policy will be subject to a planned review every three years as part of the HR policy review process.

APPENDIX A – PROCEDURE FOR CONDUCTING A STAFF APPRAISAL

1. FREQUENCY AND TIMING OF THE APPRAISAL

- 1.1** A quality appraisal requires good planning and preparation by both the appraisee (staff member) and appraiser (manager). Advance notice should be given of the meeting to enable both parties adequate time to prepare. Providing a minimum of two weeks' notice of the appraisal meeting should facilitate this. Managers are encouraged to schedule appraisals well in advance across the year.
- 1.2** In the first year in post, the appraisal process should be undertaken twice, these being:
- (a) shortly after appointment and certainly by the three month stage to review progress and set objectives, in particular to ensure that the new staff member understands their duties, responsibilities and job description, which competencies, skills and knowledge are required for their role and what is required to achieve this in the first year. This initial meeting should also reinforce the expected values, behaviours and attitudes that were referred to during interview process and at induction.
 - (b) prior to the end of the first year e.g 9 months to check on progress, as to whether the individual can progress through Foundation gateway.

These stages should incorporate the stay interview questions in particular, when the needs and expectations of the new member of staff can be better understood and met.

- 1.3** An appraisal should be undertaken annually thereafter, with a review meeting at 6 months.
- 1.4** The line manager must ensure that the workforce information report is updated to show the date the appraisal was completed e.g 3 months and annually thereafter, otherwise it will be shown as 'never completed' in terms of compliance.

2. PREPARATION AND PLANNING FOR APPRAISAL

- 2.1** It is the responsibility of both the member of staff and their manager to ensure that an appraisal takes place and that regular informal meetings are held.
- 2.2** Preparation is a key part of the appraisal process and to ensure that there is a quality discussion, both parties have a responsibility to fully prepare for, engage with and contribute to the appraisal.

2.3 Manager Preparation

2.3.1 The line manager/supervisor will normally be responsible for appraising their own staff. This may be delegated to another individual where they are better placed to comment on performance or conduct. Where this occurs, the individual must have some supervisory responsibility for the member of staff.

2.3.2 The appraiser is expected to prepare for the appraisal by assessing the individual's:

- Values, attitudes and behaviours (see section 4). The appraiser may wish to seek feedback from members of the team, patients, other staff
- Performance against work objectives; linked to True North and breakthrough objectives that will deliver the Patient First Programme. This is an opportunity for the individual to know how their contribution is aligned to the strategic priorities in the Trust and what is expected in their role. Clinical roles may align more strongly to Patient Experience and Quality Improvement whilst others may align to Sustainability or Systems and Partnerships
- Performance against the NHS Knowledge and Skills Framework (KSF) if applicable
- The Record of the Appraisal Form can be used to prepare for the discussion

2.3.3 The appraiser should also consider:

- The individual's ongoing and future contribution to patient care and continuous service improvement
- The individual's ongoing and future contribution to the team, Service and wider Trust
- The areas of knowledge, skills and behaviours that are required to be retained and required in the future
- The individual's level of job satisfaction and motivation and how this can be increased. How can you help the individual to suggest and make improvements happen?
- Attendance in the last 12 months and what ongoing or additional support is required to facilitate the individual to maintain good health and wellbeing and therefore deliver continued high performance
- Feedback on overall performance and pay progression

2.3.4 Practical aspects in preparation for the appraisal include:

- Noting the incremental date and schedule of gateway dates
- Agreeing a date for the appraisal meeting. This should take place at least 2 months prior to the incremental date

- Ensuring the appraisee is given adequate notice (minimum of 2 weeks)
- Ensuring the appraisee has access to the appraisal paperwork and offering them the opportunity to discuss the content
- Ensuring that the appraisal takes place in private without interruption
- Ensuring adequate time is set aside for the meeting (30 to 60 mins is suggested).
- Reading the Trust's staff appraisal policy
- Reviewing the current job description and person specification; reflecting on whether any changes need to be discussed

2.4 Staff Member Preparation

2.4.1 The appraisee should prepare for the appraisal meeting. This should include:

- Reflecting on own values, attitudes and behaviours (see section 4).
- Reviewing last year's objectives (unless new in post) and own performance against these.
- Reviewing evidence gathered that supports application of values, attitudes, behaviours, knowledge, skills and achievements.
- Reflecting on what has gone well, not so well, development undertaken in previous 12 months and how this has changed own practice.
- Reflecting on the own level of job satisfaction and motivation. What do you enjoy and like about your role and what gets in the way of you doing a really good job? What improvements would you like to see and how can you be involved in making them happen?
- Considering the ongoing or additional support required from your manager/supervisor to help maintain good health and wellbeing and sustain high performance.
- Identifying and prioritising learning and development needs for the next year.
- What activities are you involved with outside your role i.e. ambassador, union representative?

2.4.2 Throughout the appraisal cycle, the appraisee is encouraged to gather evidence that demonstrates progression against the expected values, attitudes and behaviours, and where applicable, the Knowledge and Skills Framework (KSF) and demonstrates that objectives have been met. This can be gathered from many different sources (for example, letters and cards from patients, feedback from colleagues, staff, patients and visitors, training certificates, audit results, key performance indicators and reports) and discussed during the appraisal meeting.

2.4.3 The Record of the Appraisal Form can be used to help appraisees prepare for their appraisal.

3. THE APPRAISAL MEETING

- 3.1 The appraisal meeting should be structured so that there is an open and free flowing dialogue around four elements of the individual's work performance:
- the values and behaviours required (see section 4),
 - work objectives and
 - the knowledge and skills required which will be used to inform a Personal Development Plan (PDP).
 - the stay discussion questions
- 3.2 The assessment of the individuals' work performance and pay progression will be discussed and recorded.
- 3.3 The emphasis on the meeting should be positive and constructive and both parties are expected to contribute in a positive and respectful manner.
- 3.4 Feedback should be open and honest and examples of evidence should be provided on what has been done well and what could be improved.
- 3.5 To ensure the appraisee is clear about what the expectations are of them and how they can contribute fully towards the Trust's vision, corporate objectives and delivery plans, work objectives must be specific, measurable, agreed, realistic and timely (SMART).
- 3.6 SMART objectives for the coming 12 months should be focused on the short, medium and longer term rather than on day to day duties and responsibilities contained in the job description. Ideally no more than 5-6 objectives should be set. The key metrics and milestones used to measure success should be set out clearly.
- 3.7 Individuals need to understand the importance of their role within the organisation. Objectives should therefore show a clear link to the overall Trust's strategic Themes i.e. Patient Experience, Quality Improvement, Our People, Substantiality, Systems and Partnerships.

4. **BEHAVIOURS THE TRUST EXPECTS FROM STAFF**

- 4.1 The appraisal process often focuses on tasks and actions, although staff are more likely to be remembered for their behaviours in the workplace.
- 4.2 The Trust has developed a set of behaviours that all staff are expected to adhere to.
- **Kind** – is helpful towards someone in need, is compassionate and generous towards others. Treats others as would like to be treated – this might be members of the team, other members of staff, patients, visitors.

- **Friendly** – is pleasant and is on good terms with others. Is approachable and contributes to a healthy working environment.
- **Respectful** – demonstrates due regard for the feelings, wishes and rights of others. Listens to and supports others and makes time to do so. Is inclusive of others and supports their need to do a good job.
- **Professional** – conforms to the technical and ethical standards of role. Is unfailingly polite and courteous and speaks well of others no matter what the circumstances. Strives for improvement and supports others in doing so.
- **Compassionate** – is caring towards others. Anticipates and understands the need of others. Puts others before themselves. Offers guidance and support to others.
- **A Team** – works with others in a co-operative, collaborative and constructive way to deliver the service and find solutions.

4.3 The appraisal meeting should explore the extent in which the appraisee has demonstrated they have met the expected standards of behavior (and particularly when under periods of pressure) and should be able to provide evidence to support this.

5. **PERSONAL DEVELOPMENT PLANNING**

5.1 Personal Development Plans (PDP's) are a key part of the appraisal process.

5.2 Managers should plan to support staff to develop the appropriate knowledge and skills. This will be documented in the PDP, which can support Continuing Professional Development (CPD) requirements for nursing and midwifery revalidation and for reaccreditation for certain roles.

5.3 The PDP is a living document and should be reviewed regularly.

5.4 Discussion of the PDP at the appraisal should entail a more in-depth conversation about what has been learnt over the review period and what additional learning the individual will need to help them to meet their objectives, develop their approach and career path.

5.5 Development can include activities other than training, e-learning and academic qualifications. Blending 'on the job' activities with formal training is also necessary to ensure real learning.

6. **CAREER DEVELOPMENT**

6.1 All employees should have the opportunity to develop to their full potential and where possible this should be supported and encouraged. The appraisal conversation is the natural

place for this to occur and should focus on exploring career aspirations, interest in future roles and where development opportunities may exist and able to be incorporated into the Personal Development Plan. Further guidance is available in the Maximising Potential guide produced by the NHS Leadership Academy.

6.2 Promotional Opportunities

6.2.1 It is vital that consideration is given during the appraisal conversation to where an employee fits into the succession plans for the department and across the organisation and that the individual is developed and supported as necessary to assume these positions in the future.

7. STAY INTERVIEWS/DISCUSSION (incorporated into the appraisal process)

7.1 Supplementary to the appraisal process, employees should be invited to attend an informal one-to-one meeting with their line manager that will discuss if there is anything that the Trust can put in place to improve their experience at work.

7.2 The meeting should be informal with the aim of listening, collecting feedback from the employee, identifying the strengths as well as areas of improvement, developing trust and confidence with the employee and ensuring freedom of expression and problem sharing. The discussion should focus on what is going right, rather than what went wrong.

7.3 Stay Interviews should be undertaken at regular intervals and any identified issues should be acted on:

- staff with less than 24 months service, these should be undertaken no less than every 3 months (in the first year these can be included with the objective setting and review meetings at the 3 and 9 month stage – please refer to Appendix A section 4)
- for staff with 3-5 years' service, these should be undertaken every 6 months in conjunction with the 6 monthly appraisal review meeting
- for staff with over 5 years' service, these should be undertaken every 12 months as part of the appraisal process

7.4 Further information can be found in the Managers Guidance Notes on Stay Interviews available on the staff intranet.

8. APPRAISAL AND GATEWAYS

8.1 Gateways are key points on a pay band where an assessment of the application of the knowledge and skills necessary to progress will be made. There are two gateway points: the foundation gateway and the second gateway.

8.2 Foundation Gateway

- 8.2.1** This applies no later than 12 months after appointment to the pay band, regardless of pay point to which the person is appointed. This should also incorporate the stay interview discussion.
- 8.2.2** The review must take place at least 3 months prior to the individual's incremental date.
- 8.2.3** The purpose of the foundation gateway (at the 9 month stage) is to assess that the person can meet the essential demands of their post.

8.3 Second Gateway

- 8.3.1** The second gateway point is set at a fixed point towards the top of the pay band.
- 8.3.2** Details of the position of the second gateway at each pay band are as follows:

Pay band	Position of second gateway
Pay band 1	Before final point
Pay bands 2-4	Before first of last two points
Pay bands 5-7	Before first of last three points
Pay bands 8 (A-D)	Before final point
Pay band 9	Before final point

- 8.3.3** The purpose of the second gateway is to assess that the individual is competent in post and able to apply knowledge and skills as described in the full outline for the post.

9. PAY PROGRESSION

9.1 Principles

- 9.1.1** The Trust is committed to the principle that pay progression is linked to performance. Within each pay band there are a number of pay points to allow pay progression in post. Staff who demonstrate the values, attitudes and behaviours expected in their roles, deliver agreed objectives and have up to date and appropriate knowledge and skills to undertake their role will progress in their pay band or pay range.
- 9.1.2** All staff will be given an equal opportunity to demonstrate the required standards of knowledge, skills and behaviours for them to progress through the gateways and pay points.

9.2 Newly appointed or promoted staff

- 9.2.1** Newly appointed or promoted staff will serve an initial foundation period of up to 12 months (with a review at the 9 month stage).
- 9.2.2** The line manager must ensure that they conduct a minimum of two discussions with the individual to review their progress, ideally at the 3 (induction and orientation period) and 9 month stage.

9.3 Annually earned pay points

- 9.3.1** Pay progression beyond the first four pay points in pay bands 8 (A-D) and 9 will be dependent upon achievement of Trust wide determined levels of performance (see together with an assessment of values, attitudes and behaviours and locally agreed work objectives. Staff will progress through the last two pay points in these pay bands only when they are assessed as having met the required level of performance.
- 9.3.2** Pay progression for this level of performance will be non-recurring and reviewed on an annual basis during the appraisal meeting. When an individual who holds an annually earned pay point has not met the required level of performance and delivery for a given year, they will have one annually earned pay point withdrawn. The last two pay points in pay bands 8 (A-D) and 9 (the annually earned points) will not be subject to pay protection.

9.4 Deferring Pay Progression

- 9.4.1** Where staff are unable to meet the requirements of the job (assessed during the appraisal meeting as “requires improvement” or “does not meet expectation”) annual pay progression will be deferred until the required development or level of performance is achieved. Progression will resume from the date that performance is assessed as acceptable. In these circumstances the incremental date will change.
- 9.4.2** Pay progression will not be deferred unless there has been prior discussion between the appraisee and appraiser. This must be recorded and detail the values, attitudes, behaviours, knowledge and skills that the individual needs to develop and apply. The member of staff will be given the opportunity to achieve the necessary development.
- 9.4.3** The formal stages of the Capability policy will normally have commenced in order for pay progression to be deferred.
- 9.4.4** Pay progression for all staff issued with a formal sanction in respect of a matter of discipline or capability will be withheld for the duration of the sanction because they have not met the required standards of behaviour or performance in the Trust. This will be re-applied at the next incremental date provided performance warrants it.

- 9.4.5** Where a manager wishes to defer the pay progression of a member of staff they should discuss it with the Divisional HR team. It is the manager's responsibility to complete a staff changes form if an incremental point is to be deferred or re-instated.
- 9.4.6** Pay progression will be withheld for staff who have not completed their statutory and mandatory training within 3 months of expiry and are not booked onto the next available training. This does not apply to staff on secondment, maternity, paternity or adoption leave, long term sickness or other agreed absence.
- 9.4.7** Pay progression will be deferred for staff on a secondment to a lower paid post, career break, sabbatical leave or unpaid leave until they return to the Trust. The incremental date and pay point will remain unchanged during the period of absence.

9.5 Right to Appeal

- 9.5.1** In the event that a decision to defer pay progression is made, the member of staff has the right of appeal to the appraiser's manager. (i.e. the manager's manager). This should be lodged in writing to the next line of manager within 14 working days of the appraisal meeting and set out the reasons for the appeal.
- 9.5.2** On receipt of the appeal, the manager must arrange to meet with both the appraiser and appraisee to discuss the outcome of the appraisal in order that they understand both parties perspective. This should be undertaken within 4 weeks of receipt of the appeal.
- 9.5.3** The appraisal's manager has discretion to invite the divisional HR representative to support them in determining whether to uphold the appeal.
- 9.5.4** The member of staff has the right to be accompanied at any appeal by their trade union representative or workplace companion.
- 9.5.5** All parties will be notified of the outcome of the appeal within 7 calendar days of the appeal and the decision will be final.

10. EXTENUATING CIRCUMSTANCES

10.1 Maternity/Paternity/Adoption Leave

- 10.1.1** During maternity, paternity or adoption leave, service is considered to be continuous. Staff should continue to progress through gateways and not be disadvantaged by taking leave.

10.1.2 Where maternity or adoption leave coincides with the Foundation Gateway, staff will return to their post with the same amount of time remaining to achieve their first gateway.

10.1.3 If the employee's performance is being actively managed at the time of their maternity or adoption leave commencing, pay progression may be withheld until the individual returns to work. HR advice must be sought in such circumstances.

10.2 Sabbaticals and Career Breaks

10.2.1 Sabbaticals and/or Career Breaks are by definition the choice of the individual. Therefore pay progression will be stopped at the pay point reached immediately prior to the start of the sabbatical or career break. Incremental progression will resume on return to work with an early review to ensure the individual remains up to date and is clear about work expectations.

10.2.2 Any cost of living increase will however, be applied during the period of absence, although the individual will be unpaid during that time.

10.3 Long Term Sickness

10.3.1 Recovery and return to work following a period of long term sickness absence should be supported through the Trust's Health and Wellbeing Policy. The impact of any long term period of absence on the individual's performance should be considered during any gateway review and appraisal discussion. Depending on the circumstances it may be appropriate that the period of time to reach the required standards is extended. Advice can be sought from Occupational Health and the HR Employee Relations team.

10.3.2 Where a period of long term sickness stretches across a gateway, the employee will pass through the gateway and their pay will be uplifted accordingly. It is essential that a gateway review is undertaken shortly after the individual resumes full duties and responsibilities.

10.2.3 If the employee's performance is being actively managed at the time of their sickness absence leave commencing, pay progression may be withheld until the individual returns to work. HR advice must be sought in such circumstances.

11. OUTCOME AND DOCUMENTATION OF THE APPRAISAL

11.1 The key outcomes from the appraisal meeting are:

- An agreed summary of progress against previous objectives (if applicable)

- An assessment of performance in relation to values, attitudes and behaviours expected by the Trust
- A set of agreed objectives linked to corporate/service/team objectives
- An agreed understanding of job satisfaction and motivational factors to inform departmental retention plans
- An agreed Personal Development Plan (PDP) linked to the NHS KSF outline of the post and/or professional body requirements where relevant
- Confirmation that all statutory and mandatory training has been undertaken
- Key themes from the stay interview should be submitted to the Divisional Engagement Team

11.2 A decision about whether the individual has met the required performance criteria and whether:

- The individual will progress through the Foundation or Second Gateway (see section 8)
- Pay progression through the next incremental point will follow (see section 9)
- Annually earned increments will be retained (see section 9)

12. QUALITY ASSURANCE

12.1 To ensure that the appraisal meeting is meaningful with clear objectives and has been conducted in a fair and equitable way, the appraisal must be quality assured. This should be undertaken by the manager of the appraiser.

12.2 A copy of the Record of Appraisal Form must be forwarded to the appraiser's manager for comment (at Section 9).