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| **Document name:** | Appraisal Policy  (See also separate document:  Appraisal Guidance) |
| **Document type:** | HR/Workforce Development |
| **What does this policy replace?** | Updated version |
| **Staff group to whom it applies:** | All staff within the Trust except  Medical Staff |
| **Distribution:** | The whole of the Trust |
| **How to access:** | Intranet and website |
| **Issue date:** | July 2022 |
| **Next review:** | July 2025 |
| **Approved by:** | Executive Management Team 23 June 2022 |
| **Developed by:** | Assistant Director of Human Resources (Learning and Development) |
| **Director leads:** | Chief People Officer |
| **Contact for advice:** | Assistant Director of Human Resources (Learning and Development) |



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**1. INTRODUCTION**

**1.1** South West Yorkshire Partnership NHS Foundation Trust (SWYPFT) recognises the importance of employee engagement. SWYPFT believes engagement will be improved through:

* Leadership which transmits vision and which recognises the contribution made by the individual in their performance.
* Giving employees a voice to express their views and concerns.
* Line managers who empower rather than control their staff.
* Displayed behaviour which is consistent with organisational values.

**1.2** The Trust believes that we require an appraisal process capable of appraising staff against the expression of Trust values. This enables appropriate behaviours to be acknowledged and reinforced. It also enables staff development to take place.

**1.3** Effective staff appraisal, is one part of the Trust’s overall approach to managing performance, Appraisal is an effective vehicle for checking wellbeing, setting direction, reviewing performance and enabling staff to:

* Discuss their wellbeing and any specific support they may require.
* Review and refresh the connection between individual, team and organisational goals and objectives ensuring individuals understand what the team is trying to achieve and how the individual contributes to organisational goals and objectives being achieved.
* Identify and discuss issues affecting the individual’s work and the space available to air their views.
* Show respect and commitment to recognising and developing staff capabilities.
* Clearly understand and discuss Trust expectations within a common, consistent framework applying to all relevant Trust roles.
* Understand organisational values by discussing how the individual’s behaviour

contributes to upholding these.

**1.4** The Trust wants the appraisal system to:

* Be an opportunity to check on the health and wellbeing needs of individuals.
* Motivate individuals with positive feedback.
* Recognise and reflect on areas in an honest and positive way where training, support or improvement may be needed to enable the individual to be fully engaged or to meet the Trust’s performance or behavioural expectations.
* Be an integral part of our approach to talent management and succession planning.

To enable this to happen, the Trust’s appraisal process is intended to explore both an individual’s performance and their values based behaviours together with organisational or other issues which may have affected these. It is also an opportunity to discuss personal development plans and any development opportunities for the individual in the future.

**1.5** The appraisal process must be continual through regular and ongoing 1:1 meetings, but requires a formal, dedicated discussion between the individual and their manager at least once a year. For many staff, such as Nurse’s and AHP’s there is a formal or professional requirement to maintain a portfolio for this purpose.

**1.6** Appraisal is just one part of the Trust’s overall approach to Improving services by monitoring and developing performance Where there is scope for an individual to make improvements in their performance or behaviours, this must not be left for the appraisal discussion. The annual appraisal meeting should not bring surprises around performance or values based behaviours. These should be raised earlier and the annual meeting used as a summary discussion of all previous 1:1’s.

**1.7** While the focus of appraisal is on the development of staff, it does give opportunities to review relevance and content of job description and person specification. Any changes must comply with job evaluation and section 6 of the recruitment and selection policy.

**1.8** For staff attached to/managed by the Trust in Integrated Service Teams, the policy should also be read in conjunction with the relevant agreements with joint employers.

**1.9** This policy has been written in accordance with the Trust’s Policy for the development, approval and dissemination of policy and procedural documents (Policy on Policies).

**2. PURPOSE AND SCOPE**

**2.1** This policy applies to all Trust Clinical and Support staff (All agenda for change staff) of all grades and working hours. The policy does not apply to medical staff who are dealt with under separate arrangements.

**2.2** The aim of this policy is to ensure that all staff and managers understand the Trust expectations regarding annual appraisal, the process and outcomes of appraisal discussions, the responsibilities of all involved throughout the appraisal process, and the mutual benefits of the appraisal process.

**2.3** The intended outcomes of appraisal through the implementation of this policy are:

* Staff Wellbeing is reviewed, understood and supported.
* Workload and capacity is reviewed and adapted where necessary.
* Trust services and staff will be able to perform to a high level.
* Staff will carry out their work in alignment with personal, team and organisational objectives, behavioural and performance expectations.
* Staff will effectively fulfil the duties and responsibilities identified in their job description.
* Staff will receive, , the necessary support to meet the demands of their job.
* Individual performance and behaviour issues will be acknowledged and addressed where this is found to be necessary.
* Employee potential for career development and personal growth within roles will be identified, recognised and supported wherever possible to enable progression opportunities for staff. This will also include development of the team’s skills.
* Appraisal will be undertaken consistently across all parts of the Trust.
* Staff will be able to progress through their relevant pay scale, if applicable, as part of the pay step review process.
  1. Failure to implement or comply with this policy may result in the following problems:
* An opportunity to engage, motivate and thank the individual is lost.
* An opportunity for identifying an individual’s support and development needs is missed.
* Staff may be unable to participate in their pay step review process.
* Appraisal may not take place or may take place in an inconsistent or ineffectual way.
* Individual efforts may not align to the needs of the service.
* An individual’s performance or values and behaviours may go unchallenged in instances where these are incompatible with Trust values and expectations.

**3. DEFINITIONS**

**3.1 Appraisal**

The method for evaluating and assessing an individual’s overall health and wellbeing and annual performance linked to work objectives, values based behaviours, job description and development of knowledge and skills.

**3.2 Appraisal Review Meeting**

An annual confidential discussion between the individual and line manager/reviewer in order to:

* Explore the individual’s wellbeing including the effects of workload, workplace culture and/or workplace environmental influences.
* Evaluate the individual’s performance linked to work objectives, values based behaviours, job description and development of knowledge and skills.
* Evaluate the individual’s values based behaviours while carrying out their work to determine how this upholds or contradicts organisational values.
* Identify performance objectives (typically up to a maximum of seven in number) describing how the individual will contribute to the team or service in the forthcoming year.
* In some cases, objectives may include actions to address inadequate/inappropriate performance and/or behaviours displayed by the individual to help get them back on track as quickly as possible.

**3.3.** **WorkPAL**

WorkPAL is the trusts E Appraisal system. This is the method by which all trust appraisals should be carried out and recorded within SWYFPT.

**3.4.** **Performance**

This includes consideration of all of the following points as applicable:

* + Acquiring and maintaining the required levels of skill / knowledge / competence to carry out every duty listed in the job description to a high standard.
  + Achievement of all mandatory and core training required for the role (or there is good reason why this has not been possible). (Refer to the Trust’s Mandatory Training Policy for further information).
  + Compliance with any requirements for maintaining a portfolio of continuing personal / professional development.
  + Consistent delivery of all reasonable work-related activities.
  + A review of objectives set in previous appraisals including where these have been achieved and also the reasons for non achievement with mitigating factors for non-achievement.
  + Refer to Appraisal guidance on intranet for more detailed information.

**3.5. Value Based Behaviours**

How an individual goes about their job – behaviours aligned with the Trust’s Values and culture demonstrated through applied attitudes, manner, conduct, demeanour, relationships and interactions - regardless of how effective or technically competent the individual is in their job.

**4. DUTIES**

The following duties apply to this policy:

**4.1. Trust Board**

* The Trust Board is ultimately responsible for ensuring that all staff receive an annual appraisal and that appraisal rates achieve targets set by the Trust of 95%.
* The Trust Board will receive assurance of appraisal uptake through monthly reports against a 95% uptake target.

**4.2. Executive Management Team (EMT)**

* Approving this policy and ensuring it has been developed in accordance with the Trust’s policy for the development, approval and dissemination of policy and procedural documents.
* Taking appropriate action to address any identified factors affecting appraisal uptake.

**4.3. Directors**

* + Implementing this policy within their BDU or Support service function ensuring that managers are aware of their responsibilities in relation to the appraisal of staff.
  + Monitoring appraisal completion reports and managing non completion with managers, where appropriate.
  + Ensuring resource issues and other risks affecting uptake of appraisal in areas for which they are responsible are brought to the attention of EMT.

**4.4. Chief People Officer**

* + Ensuring this policy is developed, maintained and controlled in accordance with Trust procedures.
  + Ensuring that processes are in place to ensure that employees receive an effective appraisal.
  + Ensuring all directors are aware of their responsibilities in relation to this policy.
  + Providing performance reports on appraisal uptake to the Trust Board and/or relevant committees.

**4.5. Assistant Director of Human Resources (Learning and Development) via the Learning and Development department**

* + Producing and maintaining appraisal policy and associated procedures and documentation.
  + Co-ordinating delivery of training to enable staff and managers to engage in the appraisal process, including on the WorkPAL E Appraisal system.
  + Evaluating policy effectiveness.

**4.6. Managers/Appraisers**

* Working in partnership with the staff member to co-produce an agreed appraisal and development/ learning plan.
* Ensuring that health and wellbeing is a focus of the individuals appraisal conversation.
* Ensuring they have adequate personal skills and training and a full understanding of the appraisal process to undertake appraisal effectively.
* Managers will develop and utilise communication skills during appraisal to ensure the individual feels listened to and valued.
* Ensuring individual objectives take the needs of the team/service into account.
* Complete the managers assessment within WorkPAL with enough time prior to the meeting to allow the appraisee to be fully prepared.
* Protect and prioritise time for all individuals to prepare for the appraisal discussion.
* To ensure the appraisal discussion takes place privately.
* Undertaking an honest evaluation of the individual’s performance and values based behaviours and providing appropriate feedback.
* Ensuring individuals carry out their job description effectively and that professional codes of conduct (where relevant) are upheld.
* Exercising personal accountability in addressing instances of inadequate performance or behaviour as soon as it arises, not waiting for the annual review.
* Exploring, Identifying and agreeing objectives with the individual.
* Identifying, agreeing and co-producing a personal development plan with the individual – taking into account current and /or future job role or aspirations.
* Monitoring of appraisal outcomes across their team and raising the issue to a more senior manager if it shows poor performance ratings across the team.
* services by senior staff show poor performance ratings across a team, this may indicate further support is required.

**4.7. Individual Employees**

* + Ensure that their own self assessment, with ratings of their own performance, is fully completed within WorkPAL prior to their agreed appraisal meeting date. This completion is also necessary to trigger the appraisal process.
  + Contribute to personal objective setting and personal development planning.
  + Take responsibility for reviewing own health and wellbeing and making recommendations.
  + Identifying issues potentially affecting their wellbeing, performance and behaviour and discuss these with their appraiser to agree actions to help address these.
  + Acknowledging the manager’s right to provide constructive feedback and to accept and act upon this where it includes the need for the individual to improve and/or develop.

**4.8. Consequences**

* + Non completion of an annual appraisal without good cause or reason might render the employee or line manager to seek disciplinary action.
  + Non- completion would also mean staff would be unable to meet criteria for annual pay step review process.

**4.9. Union Learner Representatives (where accessed)**

* + Supporting teams to implement this policy.
  + Providing practical support to understand and conduct appraisal effectively.

**4.10 WorkPAL Champions**

* + Providing practical first line support to help individuals within their team and/or service to use the WorkPAL system effectively.
  + Ensuring their own full understanding of the WorkPAL system and undertake required training as required.

**5. PRINCIPLES**

**5.1** All staff must have an annual appraisal discussion every year. Appraisal discussions can be undertaken face to face or remotely using digital technology.

**5.2** Appraisal discussions must use the approved Trust process and WorkPAL as described in this policy and associated guidance.

**5.3** The demonstration of knowledge, skills and competence to undertake the job is appraised specifically in the context of the job description, person specification and mandatory and core training requirements for the role.

**5.4** Appraisal discussions must be informed using ongoing management supervision of the individual and through knowledge of the individual’s work, accomplishments and values based behaviours throughout the year. For these reasons, it is imperative that the person conducting the appraisal is familiar and works sufficiently close with the individual to have adequate first- hand experience to make these judgements.

**5.5** On the occasions where the line manager is unable to act as the appraiser, responsibility for conducting the appraisal may be delegated to a colleague who has acted in a senior supervisory capacity for the individual during the appraisal period.

**5.6** Before conducting an appraisal, the manager must be satisfied that they fully understand the process. Managers should also fully brief their staff before the appraisal takes place to enable them to understand the process and expectations. Appraisees should also be encouraged to attend the Workpal briefing sessions wherever possible.

**5.7** Best practice suggests a cascade of appraisals so that employee’s performance objectives are aligned with their managers, departments, service and Trust objectives.

**5.8** The manager must provide specific examples of performance / values based behaviours within the WorkPAL managers assessment to justify their rating of the individual and to inform the appraisal discussion. This should include successes and challenges.

**5.9** Where appropriate, reasonable adjustments should be provided for any individual who has identified or self-declared with a disability. Further details of the support available are given in section 16.

**5.10** Where the individual has concerns that the manager has not conducted the appraisal appropriately or in line with this policy, they should seek advice from their senior manager, HR or a freedom to speak up guardian for support and guidance.

**5.11** The manager’s decision regarding assessment of the individual is final – but must take into account mitigating circumstances which may have affected the individual’s performance or behaviour during the review period. In instances where the individual continues to disagree with their final assessment, the Trust’s Grievance Procedure should be followed. This will be discussed further in section 10.

**6. APPRAISAL TIMESCALES**

**6.1** A six-month window will be provided to conduct all appraisals subject to the following:

* + All staff at band 6 and above should have their appraisal between 1st April and 30th June This is because such staff are more likely to be responsible for appraising other staff, including setting objectives for others in support of organisational objectives.
  + All staff at band 5 and below must have their appraisal between 1st April and 30th September. This extended period recognises the lower likelihood of such staff having responsibility for appraising others. It also acknowledges that bands 1-5 represent the significant majority of the workforce and that more time is therefore required to appraise staff in this group.
  + Staff who have a period of absence, for example on maternity leave or long term sick, will have their appraisal on their return. At this point, it is expected that the manager and employee have agreed short-term objectives for the remainder of the performance year. Objectives and performance will then fall in line with the Trusts annual appraisal cycle.

**6.2** For performance monitoring purposes, appraisal uptake rates will be monitored monthly against a 95% uptake target.

**7. KNOWLEDGE, SKILLS, COMPETENCE AND REVALIDATION**

**7.1** Assessment of competencies and behaviours are a fundamental aspect of the values-based appraisal process. Assessment of achievement of required levels must be through, and part of, an assessment of the individual’s overall performance, as reflected in the WorkPAL system layout.

**7.2** Where revalidation requirements apply to professional staff, such as minimum practice hours or minimum hours of continuing professional development, this will form part of the assessment of the individual’s overall performance. Further links to guidance on revalidation and re-registration (and the links to appraisal) can be found in section 16.

**8. APPRAISAL AND ONGOING MANAGEMENT SUPERVISION**

**8.1** It is crucial that managers have opportunity to provide management supervision for their staff. Managers are responsible for ensuring regular performance and wellbeing reviews. The WorkPAL system contains a facility to store 1-1 conversations which can assist these discussions.

Benefits of carrying out management supervision include:

* + Increased communication and improved working relationship, which can have a positive effect on the wider team and department.
  + Increased opportunities to discuss wellbeing and ensure any problems are raised at the first opportunity.
  + Helps to celebrate any achievements by the individual as well as address any issues.
  + Enables discussion of learning and development opportunities.

Failure to do so results in risks including:

* + Managers appraise staff with little knowledge of their day-to-day work, successes, achievements and contributions. This makes appraisal potentially unfair, leaving the individual feeling undervalued.
  + Performance or values based behaviour problems are not addressed in a timely way outside of the appraisal process and the latter becomes the main route by which problems are raised and addressed.
  + It is not possible to ensure timely and effective cascade of organisational objectives.

**9. MANAGING DIFFERENCES OF OPINION REGARDING APPRAISAL OUTCOMES**

**9.1** The potential for differences of opinion will always be there and it is important to recognise that appraisal process works by using any differences in self and manager assessments of values based behaviours, competencies and wellbeing as the basis for discussion. This means that where differences exist, this is to be welcomed as an opportunity to provide discussion points to achieve mutual understanding.

**9.2** These differences may lead to conflict between the manager and member of staff if there is disagreement on appraisal outcomes, with the manager’s assessment differing from the individual’s.

**9.3** Where differences of opinion regarding performance or behaviour exist, these must be explored, and resolved, through two-way dialogue in the appraisal review meeting. It is particularly important that both parties understand each other’s rationale through exploring examples from practice. It is also important that the manager considers mitigating factors outside of the individual’s control which may have affected performance or behaviour. This should be an open and honest conversation between the individual and manager.

**9.4** Managers should be fully supported to implement any other relevant policies consistently, receiving the relevant training where required. These could include, but are not limited to, disciplinary, grievance etc.

**9.5** All staff should be prepared to receive feedback with professionalism and accept the manager’s right to give constructive feedback and behave in an appropriate manner in response.

**9.6**  All appraisers should be prepared to listen to the appraisee’s point of view and consider any evidence or mitigation they present, before moving to action planning.

**9.7** Following the discussion in WorkPAL, ratings and comments should then be agreed by both parties and accurately documented. Failure to do so results in the risk that factually inaccurate information regarding the individual’s performance, behaviour or reputation may be retained within WorkPAL.

**9.8** Where differences of opinion persist and the individual is not happy with the outcome, he/she should refer to a senior manager to try and ensure a local solution before referring to the grievance policy.

**10. STAFF REQUIRING OR BEING MANAGED UNDER EXISTING PERFORMANCE, CAPABILITY OR DISCIPLINARY PROCEDURES**

**10.1** The Trust has established procedures for dealing with performance and capability and for dealing with issues of conduct. The Appraisal policy is not a substitute for these and they must be referred to in all instances where performance or behaviour concerns identified at appraisal have been identified.

**10.2** The Performance and Capability Procedure addresses an individual’s ability to carry out their role to the required standard. The Resolution Process and Disciplinary Procedure if required addresses issues of misconduct. Performance or behaviour issues serious enough to require action must be dealt with under these procedures as appropriate. This applies regardless of whether the issues are identified as part of the appraisal discussion or outside of appraisal.

**10.3** Poor performance or behaviour should be addressed with the individual at the time of occurrence or as soon as possible using the appropriate procedure above.

**10.4** There may be instances during the course of the year where an individual has been subject, or currently is subject, to an action plan arising from the Performance and Capability Procedure or Disciplinary Procedure. In such cases, appraisal must incorporate a review of progress against relevant issues.

**10.5** In all such cases, the fact that the individual might have had, or does have, a compulsory action plan as a result of being subject to such procedures cannot be used to automatically assess the individual at appraisal in a negative way.

**10.6** In any instances where appraisal shows there has been failure to improve in response to previous action plans arising from the Performance and Capability or Disciplinary procedures, the manager should refer back to the appropriate procedure to resume required actions.

**10.7** Where the appraisal identifies the need to manage the individual under either the Performance and Capability Procedure, the Resolution Process or the Disciplinary Procedure, the manager must inform their HR representative.

**11. APPRAISAL FOR NEW STARTERS**

**11.1** All new permanent and fixed term employees – including those moving into the post following significant role change – must have a local induction in accordance with the Trust’s Values based Induction Policy. During the Local Induction period and no later than 12 weeks after starting in post, the manager/person responsible for induction, must formally review with the individual:

* + Expectations with regard to the job description.
  + Expectations regarding organisational values - and the values based behaviours.
  + Immediate learning and development needs to perform safely / effectively in their new role, to achieve competency requirements etc.
  + Any objectives which will apply until the next appraisal meeting within the annual appraisal cycle.

**11.2** Within the first 12 weeks of starting in post the employees initial objectives must be recorded within WorkPAL.

**11.3** In the next appraisal window objectives and performance will then fall in line with the Trusts annual appraisal cycle.

**12. DEVELOPMENT PROCESS**

**12.1** This policy and the WorkPAL system and process have been developed as a result of the need to reinforce the link between staff wellbeing, personal performance and behaviours underpinning organisational values, while giving staff opportunity to identify issues affecting their ability to meet such expectations. This is noted in the Equality Impact Assessment in Appendix 1.

**13. DISSEMINATION AND IMPLEMENTATION ARRANGEMENTS**

**13.1** Promotion and Communication:

* + Policy launched via weekly email communications and the Trust’s intranet. Policy also available on the Trust’s Website.
  + Where staff do not have intranet/internet access, managers will ensure staff are otherwise aware of the policy and are provided with access to copies as required/requested.
  + Given the geographical spread of the Trust, the only way to ensure staff access the current version of this policy is to access via the Document Store on the Trusts intranet. Managers should be mindful of this if distributing copies to staff.
  + Learning and Development department to raise and maintain awareness of the policy with managers and staff during scheduled meetings and in response to information requests.
  + Policy referred within other relevant policies including Study Leave Policy and Induction Policy.
  + The implementation of the policy will be supported by all managers responsible for appraising staff.

**13.2 Training**

Effective appraisal is fundamental to staff engagement and the reinforcement of organisational values. For these reasons, the Learning and Development department will ensure provision of suitable training for managers and staff to enable them to take part in appraisal according to this policy and associated guidance. They will also ensure that training is provided on the WorkPAL system for managers and staff.

**14. PROCESS FOR MONITORING COMPLIANCE AND EFFECTIVENESS**

**14.1** Appraisal uptake and outcomes will be analysed with respect to staff groups as per the Equality Impact Assessment.

**14.2** Compliance with this policy will be assessed through monitoring appraisal completion rates. Concerns will be brought to the attention of the Chief people officer.

**14.3** Trust Board assurance will be through the performance monitoring process based on appraisal completion rates reported as key performance indicators.

**14.4** Complaints and other feedback in relation to the application of the policy and associated process will be investigated as they arise, ensuring that issues are addressed both through feedback to managers and through policy/process amendments as required.

**15. REVIEW AND REVISION ARRANGEMENTS**

**15.1** The Assistant Director of Human Resources (Learning and Development) will, as required, conduct a formal three yearly review of the appraisal policy and associated process based on latest guidance, emerging new requirements and verbal and written feedback received from managers in response to existing practice. Risks and issues highlighted by the review will be reported to EMT and Staff Side as required.

**15.2** The Information Governance Manager is responsible for placing the new version of the policy in the electronic document store, for ensuring the document being replaced is removed from the document store and that an electronic and paper copy, clearly marked with version details, are retained as a corporate record.

**16. ASSOCIATED DOCUMENTS, REFERENCES AND LINKS**

**SWYPFT Disciplinary Procedure**

[565.docx (sharepoint.com)](https://swyt.sharepoint.com/:w:/r/sites/Policy-Documents/_layouts/15/Doc.aspx?sourcedoc=%7B1516C20D-0D3F-4D37-B480-61ECC9BE47D2%7D&file=565.docx&action=default&mobileredirect=true)

**Equal Opportunities in Employment Policy**

[457.docx (sharepoint.com)](https://swyt.sharepoint.com/:w:/r/sites/Policy-Documents/_layouts/15/Doc.aspx?sourcedoc=%7BC79A85D1-8101-4D0F-A940-84F5663A13E7%7D&file=457.docx&action=default&mobileredirect=true&DefaultItemOpen=1)

**SWYPFT Grievance Procedure**

[568.docx (sharepoint.com)](https://swyt.sharepoint.com/:w:/r/sites/Policy-Documents/_layouts/15/Doc.aspx?sourcedoc=%7BEFE476EB-E85E-4394-B067-AB77F11DF522%7D&file=568.docx&action=default&mobileredirect=true&DefaultItemOpen=1)

**SWYPFT Induction Policy**

[372.docx (sharepoint.com)](https://swyt.sharepoint.com/:w:/r/sites/Policy-Documents/_layouts/15/Doc.aspx?sourcedoc=%7BA2F7D1EA-D4F8-4F93-8658-FFCF40EF4F96%7D&file=372.docx&action=default&mobileredirect=true)

**SWYPFT Capability Procedure**

[450.docx (sharepoint.com)](https://swyt.sharepoint.com/:w:/r/sites/Policy-Documents/_layouts/15/Doc.aspx?sourcedoc=%7B72F7E0DF-12D5-4374-B48D-EF45ECDDBCA4%7D&file=450.docx&action=default&mobileredirect=true&DefaultItemOpen=1)

**SWYPFT Staff Mental Wellbeing and Resilience (Stress) Policy**

[461.docx (sharepoint.com)](https://swyt.sharepoint.com/:w:/r/sites/Policy-Documents/_layouts/15/Doc.aspx?sourcedoc=%7B349872F6-C184-456A-BE1E-244E6B037ABF%7D&file=461.docx&action=default&mobileredirect=true&DefaultItemOpen=1)

**Pay Step Progression Procedure**

[1235.docx (sharepoint.com)](https://swyt.sharepoint.com/:w:/r/sites/Policy-Documents/_layouts/15/Doc.aspx?sourcedoc=%7B4B729F87-D8BC-40A2-B81B-14E811AC8426%7D&file=1235.docx&action=default&mobileredirect=true&DefaultItemOpen=1)

**Appraisal Guidance**

[2022 WorkPAL E Appraisal (sharepoint.com)](https://swyt.sharepoint.com/sites/Learning-and-development/SitePages/2022-WorkPAL-E-Appraisal.aspx?web=1)

**Reasonable Adjustments**

[Reasonable Adjustments (sharepoint.com)](https://swyt.sharepoint.com/sites/Learning-and-development/SitePages/Reasonable-Adjustments.aspx)

**WorkPAL Web Link**

<https://www.workpal.co.uk/login/>

**NMC Nursing Revalidation**

https://www.rcn.org.uk/-/media/royal-college-of-nursing/documents/publications/2020/august/009-321.pdf?la=en

**Allied Health Professions CPD Evidence**

https://www.hcpc-uk.org/cpd/cpd-audits/completing-a-cpd-profile/cpd-evidence/

**Appendix 1- Equality Impact Assessment**

**Equality Impact Assessment template to be completed for all policies, procedures and strategies**

**Date of EIA: 20 June 2022 Review Date: June 2025**

**Completed By: Simon Wardley**

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| --- | --- | --- |
|  | **QUESTIONS** | **ANSWERS AND ACTIONS** |
| **1** | **What is being assessed?**  Prompt: what is the function of this document (new or revised) | **Appraisal policy- update** |
| **2** | **Description of the document**  Prompt: What is the aim of this document | The aim of this document is to ensure that the trust appraisal process and system and the appraisal policy itself, are equitable and accessible to all staff (except medical staff who have a separate process) within the trust.  The aim of the Appraisal policy is to ensure that all staff and managers understand Trust expectations regarding annual appraisal, system to be used, the process and outcomes of appraisal discussions and responsibilities of all stakeholders throughout the appraisal process. This is necessary so that:  • Trust services will achieve excellence and staff will be the best that they can be.  • Staff will carry out their work in alignment with personal and organisational objectives, and performance expectations in a way which demonstrates organisational values.  • Staff will effectively fulfil the duties and responsibilities identified in their job description.  • Staff will receive, wherever possible, the necessary support to meet the demands of their job and to help them to cope.  • Individual performance and behaviour issues will be acknowledged and addressed where this is found to be necessary.  • Staff engagement will be promoted. |
| **3** | **Lead contact person for the Equality Impact Assessment** | **Andrew Broadhead- Assistant Director Of HR** |
| **4** | **Who else is involved in undertaking this Equality Impact Assessment** | **Simon Wardley- Senior L & D Facilitator** |
| **5** | **Sources of information used to identify barriers etc**  Prompts: service delivery equality data – refer to equality dashboards ([BI Reporting - Home (sharepoint.com)](https://swyt.sharepoint.com/sites/BIReporting)  satisfaction surveys, complaints, local demographics, national or local research & statistics, anecdotal. Contact [InvolvingPeople@swyt.nhs.uk](mailto:InvolvingPeople@swyt.nhs.uk) for insight  **What does your research tell you about the impact your proposal will have on the following equality groups?** | The Equality Workforce Monitoring Annual Report 2020.  Workforce Information Appraisal completion statistics 2020  WorkPAL User survey feedback 2021  Appraisal protected characteristics data-    WorkPAL E Appraisal system has increased flexibility ofappraisal conversations for some characteristics by allowing for remote meetings that could fit round caring responsibilities, for example. Consideration of protected characteristics and accessibility with all of the below groups during appraisals is discussed in Appraisal skills training. Responsibility for appraisal discussions with all staff sits with line managers who should look to remove any barriers staff are facing. Further training and discussions can be had with any line managers where required. |
| **5a** | **Disability Groups:**  Prompt: Learning Disabilities or  Difficulties, Physical, Visual, Hearing  disabilities and people with long term  conditions such Diabetes, Cancer,  Stroke, Heart Disease etc. Accessible information standard | Some individuals with autism spectrum disorder may perform well overall at work while having some difficulties relating to others in complex social situations. This will need to be taken into account as a reasonable adjustment in their appraisal. Also, individuals who have dyslexia may have issues with certain types of text and screen colour which are used in WorkPAL. This has been discussed with the developer and changes made for 21/22 update to improve presentation.  Review of 2020 data (most recent available) shows that staff with a disability had appraisal completion rates that were 10% higher as a group, than those without a disability (58% completed against 48%) Plan to capture further data for Workforce disability equality standard in 21-22 (as data is for the first year of the new WorkPAL system) to further understand trends.  Also, impacts of COVID19 have been significant, including long covid. Covid risk assessments are in place to provide guidance. |
|  | **QUESTIONS** | **ANSWERS AND ACTIONS** |
| **5b** | **Gender:**  Prompt: Female & Male issues should be considered | Review of 2020 data shows staff of all genders have very similar appraisal completion rates.  Plan to capture information for gender monitoring standard for 2021-22 |
| **5c** | **Age:**  Prompt: Older people & Young People issues should be considered | Review of 2020 data shows staff in age bands 60-69 and 70+ have lower appraisal completion rates than the average. 42% of 60-69 year olds had completed their Appraisal and 22% of 70+ staff against an average of 50%.  Plan to capture further data for 21-22 (as data is for the first year of the new WorkPAL system) to further understand trends. Will look to cascade importance of completing appraisal through HR business partners and also managers, to target staff who are in this age bracket. Review any training support which is required. |
| **5d** | **Sexual Orientation:**  Prompt: Heterosexual, Bisexual, Gay,  Lesbian groups are included in this  Category | Review of 2020 data shows staff of all sexual orientations have similar appraisal completion rates. Plan to capture further information on sexual orientation. |
| **5e** | **Religion & Belief:**  Prompt: Main faith groups and people with no belief or philosophical belief issues should be considered | Review of 2020 data shows staff of all religious beliefs have similar appraisal completion rates |
| **5f** | **Marriage and Civil Partnership**  Prompt: Single, Married, Co-habiting, Widowed, Civil Partnership status are included in this category | Review of 2020 data shows staff of all marriage statuses have similar appraisal completion rates. |
| **5g** | **Pregnancy and Maternity**  Prompt: Currently pregnant or have been pregnant in the last 12 months should be considered | All staff who are on maternity leave are excluded from Appraisal statistics for 2021-22. They would then complete an appraisal during the appraisal window on their return to work. All staff who are pregnant and are able to complete their appraisal before maternity leave can do so |
| **5h** | **Gender Re-assignment**  Prompt: Transgender issues should be considered | None anticipated – ongoing review. Data for this staff group isn’t currently captured in ESR. |
| **5I** | **Carers**  Prompt: Caring responsibilities paid or unpaid, hours this is done should be considered | None anticipated – ongoing review. Staff carers network is available to provide support with appraisal process if necessary |
| **5j** | **Race**  Prompt: Indigenous population and BME Groups such as Black African and Caribbean, Mixed Heritage, South Asian, Chinese, Irish, new Migrant, Asylum & Refugee, Gypsy & Travelling communities.) | Review of 2020 data shows staff of black (42%) and Asian (43%) minority ethnic groups had appraisal completion rates which were significantly lower (50%) than those of white colleagues  Plan to capture further data for workforce race equality standard in 2021-22 (as data is for the first year of the new WorkPAL system) to further understand trends. To look at mitigating factors for lower completion rates through engaging with underrepresented groups through staff networks such as the REACH network. |

**Action Plan**

EIAs are now reviewed using a grading approach which is in line with our Equality Delivery System (EDS). This rates the quality of the EIA. This means that the team can review the EIA and make recommendations only. The rating and suggested standards are set out below:

* + **Under-developed** – red – **No data**. **No strands** of equality
  + **Developing** – amber – **Some census data plus workforce**. **Two strands** of equality addressed
  + **Achieving** – green – **Some census data plus workforce. Five strands** of equality addressed
  + **Excelling** – purple –**All the data and all the strands** addressed

Potential themes for actions: Geographical location, built environment, timing, costs of the service, make up of your workforce, stereotypes and assumptions, equality monitoring, community relations/cohesion, same sex wards and care, specific issues/barriers.

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| --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **Who will benefit from this action?** | **Tick all that apply** | **Action 1:**  **This is what we are going to do** | **Action 2:**  **This is what we are going to do** | **Action 3:**  **This is what we are going to do** | **Lead/s** | **By When** | **Update/review outcome** | **RAG** |
| Age | x | Capture further data from 2022 to look at trends with higher age groups having lower appraisal completion rates |  |  | L&D | December 2022 |  | A |
| Disability | x | Engage with Disability network to discuss ongoing accessibility solutions to Appraisal for staff identifying as having a disability |  |  | L&D | December 2022 |  | A |
| Gender reassignment |  |  |  |  |  |  |  | A |
| Marriage and civil partnership |  |  |  |  |  |  |  |  |
| Race | x | Capture further data from 2022 to look at trends with black and Asian minority ethnic groups having lower appraisal completion rates | To engage with REACH network and discuss possible barriers to minority ethnic groups completing appraisal |  | L&D | December 2022 |  | A |
| Religion or belief |  |  |  |  |  |  |  |  |
| Sex |  |  |  |  |  |  |  |  |
| Sexual orientation |  |  |  |  |  |  |  |  |
| Pregnancy and maternity |  |  |  |  |  |  |  |  |
| Carers |  |  |  |  |  |  |  |  |

**6. Involvement & Consultation: New or Previous (please include any evidence of activity undertaken in the box below)**

|  |
| --- |
| Engaged with staff in annual WorkPAL E Appraisal user survey  Employment Policy Group consisting of staff side and managers and via the Trust Partnership Forum |

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| 1. **Methods of Monitoring progress on Actions**   Monitored and discussed within monthly senior HR and L & D meetings |

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| |  | | --- | | 1. **Publishing the Equality Impact Assessment**   As an appendix to the policy available on the trust intranet. | |

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| |  | | --- | | 1. **Signing off Equality Impact Assessment:**     Greg Moores, Chief People Officer, 20 June 2022 | |

***Once approved, you must forward a copy of this***

***Assessment/Action Plan by email to:***

[**InvolvingPeople@swyt.nhs.uk**](mailto:InvolvingPeople@swyt.nhs.uk)

**Please note that the EIA is a public document and will be published on the web.**

**Appendix 2- Checklist for the Review and Approval of Procedural**

**Failing to complete an EIA could expose the Trust to future legal challenge.**

|  | **Title of document being reviewed:** | **Yes/No/ Unsure** | **Comments** |
| --- | --- | --- | --- |
| **1.** | **Title** |  |  |
|  | Is the title clear and unambiguous? | Yes |  |
|  | Is it clear whether the document is a guideline, policy, protocol or standard? | Yes |  |
|  | Is it clear in the introduction whether this document replaces or supersedes a previous document? | Yes |  |
| **2.** | **Rationale** |  |  |
|  | Are reasons for development of the document stated? | Yes |  |
| **3.** | **Development Process** |  |  |
|  | Is the method described in brief? | Yes |  |
|  | Are people involved in the development identified? | Yes |  |
|  | Do you feel a reasonable attempt has been made to ensure relevant expertise has been used? | Yes |  |
|  | Is there evidence of consultation with stakeholders and users? | Yes |  |
| **4.** | **Content** |  |  |
|  | Is the objective of the document clear? | Yes |  |
|  | Is the target population clear and unambiguous? | Yes |  |
|  | Are the intended outcomes described? | Yes |  |
|  | Are the statements clear and unambiguous? | Yes |  |
| **5.** | **Evidence Base** |  |  |
|  | Is the type of evidence to support the document identified explicitly? | Yes |  |
|  | Are key references cited? | NA |  |
|  | Are the references cited in full? | NA |  |
|  | Are supporting documents referenced? | Yes |  |
| **6.** | **Approval** |  |  |
|  | Does the document identify which committee/group will approve it? | Yes |  |
|  | If appropriate have the joint Human Resources/staff side committee (or equivalent) approved the document? |  |  |
| **7.** | **Dissemination and Implementation** |  |  |
|  | Is there an outline/plan to identify how this will be done? | Yes |  |
|  | Does the plan include the necessary training/support to ensure compliance? | Yes |  |
| **8.** | **Document Control** |  |  |
|  | Does the document identify where it will be held? |  |  |
|  | Have archiving arrangements for superseded documents been addressed? |  |  |
| **9.** | **Process to Monitor Compliance and Effectiveness** |  |  |
|  | Are there measurable standards or KPIs to support the monitoring of compliance with and effectiveness of the document? | Yes |  |
|  | Is there a plan to review or audit compliance with the document? | Yes |  |
| **10.** | **Review Date** |  |  |
|  | Is the review date identified? |  |  |
|  | Is the frequency of review identified? If so is it acceptable? |  |  |
| **11.** | **Overall Responsibility for the Document** |  |  |
|  | Is it clear who will be responsible implementation and review of the document? |  |  |

**Appendix 3- Version control sheet**

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| --- | --- | --- | --- | --- |
| **Version** | **Date** | **Author** | **Status** | **Comment / changes** |
| 1 | April 2010 | Assistant Director Workforce Development | Final | Final version approved by Trust Board |
| 2 | April 2012 | Assistant Director HR (Learning & Development) | Final | Interim policy to ensure that all staff  receive an appraisal bearing in mind the different existing approaches between  SW YPFT and services transferring to  SW YPFT under TUPE. ‘Holding’ position also required in consideration of development work taking place to introduce a new values-driven appraisal policy and process during 2012/13.  The ‘interim’ policy is aimed at enabling the continuation of existing approaches, but unifying expectations and timeframes for appraisal to ensure pragmatism but consistency across the organisation.  Final version approved by EMT |
| 3 | Feb 2013 | Assistant Director HR (Learning & Development) | Final | Completely revised appraisal policy to support the behaviour-based appraisal system developed to reinforce organisational values and expectations. |
| 4 | Jan 2014 | Assistant Director HR (Learning & Development) | Final | Revised policy based on detailed evaluation exercise of version 3. The Policy and appraisal documentation incorporate and reflect opinions and feedback of staff and managers collected as part of the evaluation exercise. |
| 5 | Jan 2015 | Deputy Director HR & Workforce Development | Final | Policy updated to describe recognition of talented staff and to reference revalidation of professional staff as a performance requirement |
| 6 | Mar  2018 | Head of Learning &  Development | Final | Support a more specific relationship between personal performance and values based behaviours |
| 7 | May 2022 | Assistant Director HR (Learning & Development) | Final | Policy updated to reflect the move to the WorkPAL E-appraisal system within the trust. |