



Shropshire, Telford
and Wrekin

Appraisal, Objectives and Performance Review (including Pay Progression) Policy

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The formally approved version of this document is that held on the NHS Shropshire, Telford and Wrekin ICB website: <https://www.shropshiretelfordandwrekin.nhs.uk/>

Printed copies or those saved electronically must be checked to ensure they match the current online version.

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PART 1

HR POLICIES

1.0 POLICY STATEMENT

- 1.1 The Organisation is committed to improvement through organisational, team and personal development. This means that all employees need to continually develop their skills and expertise so that they are able to carry out their role efficiently and effectively and fully contribute to the success of the organisation.
- 1.2 This Policy sets out the ICB's approach to performance review, talent management and pay progression. It is designed to give an overall statement of intent.
- 1.3 Actively managing performance and talent not only enables the ICB to achieve its mission of supporting, supplying and protecting the NHS, it also makes sure that each and every employee has a clear understanding of:
- What is expected of them
 - How they are performing
 - How this contributes to organisational performance and strategy
 - What their short-term development needs are
 - What they need to do to develop their career in the longer term
- 1.4 Both employees and managers must share the responsibility for ensuring that appraisals and personal development are embedded in everyday working practices. However, accountability for appraisal is with the manager.
- 1.5 The ICB understands the need to provide a clear and consistent framework within which employees and managers can talk about performance, and review and plan development. The process enables this, and ensures that reliable information on performance, potential, aspiration and skills sets to enable this.

2.0 PRINCIPLES

- 2.1 The ICB recognises the contribution that values, and competencies make towards overall performance and these are included in the measurement of individual performance.
- 2.2 To be effective it is essential that the process is interactive and jointly owned by each employee and their line manager. Line managers and employees will meet in 1:1s on a regular basis to discuss performance and development. The process is ongoing and therefore less effective when addressed infrequently.
- These meetings must be documented using the templates contained within the appendices.
- 2.3 In addition to these meetings, bi-annual review meetings should be undertaken to spend more time considering achievements for the ongoing assessment of performance against

agreed task and development-based objectives and expected competency and behaviour to ensure the documentation remains up to date and fit for purpose.

- 2.4 The process supports the identification of effective and meaningful learning experiences and opportunities to enable employees to develop their skills and fulfil more of their potential to deliver more effectively in their current and future roles. The process will result in a robust Personal Development Plan (PDP) which can be monitored throughout the year.
- 2.5 Clear expectations will be set in terms of objectives to be achieved together with necessary competencies and behaviours linked to the Corporate Objectives normally developed at the start of each financial year and how these align with organisational strategy and plans.
- 2.6 The process will identify and record how an individual has performed against expectation for the previous review period. This meeting should be recorded and agreed by both parties (see Appendix 5)
- 2.7 The appraisal review period is 12 months, beginning 01 April and ending 31 March to coincide with the publication of the organisations business plans. Managers will hold two meetings with their staff throughout this period. These will occur at the beginning of and approximately halfway through a review period. These are recorded and agreed by both parties (see Appendix 5)
- 2.8 People Development Meetings, consisting of management teams and led by the senior manager, may be held to consider the development plans and opportunities for employees in light of current and future capability and needs.
- 2.9 When the line manager changes during a review period there will be a handover process in which the previous manager will begin an interim Review Meeting by rating the individual's performance to date, and their new manager will complete this by setting expectations for the remainder of the review period. This will ensure continuity in the reviewee's personal development and that outstanding responsibilities in the original role are transferred to others so that business objectives continue to be achieved.
- 2.10 The process is linked to the ICB business strategy and plans, and the competencies and values to ensure that skills and behaviours are developed to meet business needs and culture.
- 2.11 The ICB will ensure that all managers are suitably skilled and competent in undertaking staff appraisals and performance reviews.

3.0 PAY PROGRESSION

- 3.1 Existing staff employed prior to 31 March 2019 should progress through their pay scale with annual pay steps, however if there have been performance issues, then this should be raised throughout the year and dealt with through the appropriate policy. Pay step dates are not the same for all staff as they are based on when staff joined the NHS.
- 3.2 For staff employed since 01 April 2019, pay progression will no longer take place annually. Under the new system, the first pay step reviews will normally take place after two, three or five years depending upon the band. The first pay step review is due to take place from April 2021, when new staff joining or promoted on 01 April 2019 will reach their first pay

step review. This is assuming that all new starters/promotions start at the bottom of the pay band in line with AfC terms and conditions.

4.0 EQUALITY

In applying this policy, the ICB will have due regard for the need to eliminate unlawful discrimination, promote equality of opportunity, and provide for good relations between people of diverse groups, in particular on the grounds of the following characteristics protected by the Equality Act (2010); age, disability, gender, gender reassignment, marriage and civil partnership, pregnancy and maternity, race, religion or belief, and sexual orientation, in addition to offending background, trade union membership, or any other personal characteristic.

5.0 MONITORING & REVIEW

- 5.1 The policy and procedure will be reviewed triennially by the HR team in conjunction with operational managers at the ICB and Trade Union representatives. Where review is necessary due to legislative change, this will happen immediately.

Part 2

1.0 PROCEDURE

- 1.1 Individuals will be introduced to the process at the start of their time in their role and initial performance and development expectations will be set.
- 1.2 All managers will have regular 1:1 meetings with their staff to discuss their health and wellbeing, performance and development. These meetings should take place at least monthly and, in some cases, at the discretion of the manager and individual, may occur more frequently (see Appendix 3).
- 1.3 1:1 meetings should provide both the manager and individual with the opportunity to discuss any aspects of performance, competence, behaviour and development that may be appropriate in the context of the individual's role and their current objectives.
- 1.4 Appraisal Review Meetings will be held between 01 April and 31 March. At these meetings performance during the previous period will be recorded and expectations for the forthcoming year set.
- 1.5 Appraisal Reviews will be cascaded through the business to ensure there is a continuous line of sight between the ICB strategy, local business plans and individual objectives.
- 1.6 Completed documentation from the Appraisal Review Meetings will be reviewed and signed off by the reviewer's line manager (as well as the reviewee and the reviewer) to ensure consistency in performance bandings awarded and expectations set.
- 1.7 Management teams will participate in People Development Meetings after Appraisal Review Meetings to consider and refine the development plans and opportunities for employees in light of current and future capability and needs.
- 1.8 Interim Appraisal Review Meetings will be held halfway through the review period. At interim meetings performance against objectives to date is rated and consideration is given to any necessary changes to expectations for the remainder of the review period.

1.9 These meetings may also be known as performance and development reviews (PDRs).

2.0 JOB DESCRIPTIONS

2.1 Job Descriptions have an ongoing purpose throughout the employee life cycle.

2.2 Job descriptions should be regularly reviewed to ensure they reflect on paper what the post holder undertakes in practice day to day.

2.3 A good job description gives the person within the post a reference point for their responsibilities and the required level of performance expected which is beneficial for appraisals and reviewing and planning personal growth and development.

2.4 Job Descriptions also support Managers to understand the scope and level of responsibility expected of a role and ensures consistency across job bands, aligning job factors and relevant job information. See further guidance in Appendix 2.

3.0 FLEXIBILITY

3.1 The Organisation recognises that due to the number and diversity of its employee groups, the process needs to be flexible. To support this, a 1:1 meeting to review performance, or a more formal interim Appraisal Review Meeting can be requested by either party at any time.

4.0 APPRAISAL REVIEW MEETINGS

4.1 All Managers must ensure that priority is given to the Appraisal Review Meetings and that scheduled appointments are issued and only re-arranged where the needs of the business are paramount.

4.2 Appraisal Review Meetings are most effective when well prepared for. Guidance has been provided to support the preparation of reviewers and reviewees (see Appendix 4). Management teams will also meet prior to Appraisal Review Meetings to ensure a consistent and transparent approach to these meetings.

4.3 Managers must allocate a quiet place with no interruptions and sufficient time to each meeting to ensure that an effective conversation is able to take place and that an accurate and reflective record of this is made.

4.4 The conversation will include:

- Review of performance against objectives and standards
- Discussion of the employees' health and wellbeing
- Review of behaviour in relation to the Organisation Competencies and Values
- An overall performance banding combining performance against objectives, competencies and Values

- Discussion of personal aspirations and career development
- Agreement of personal objectives and performance standards over the coming year and how these are aligned with the ICB strategy and local business plans
- Review of personal development during the last year
- Development of a PDP for the coming year
- Review of the Pay Step Review process (if applicable at the time of the APPRAISAL REVIEW)

5.0 PERFORMANCE BANDINGS

5.1 The allocation of a performance banding should clearly reflect the performance of the individual during the entire review period and must be a combination of all three aspects of performance – objectives, competencies and Values.

5.2 There are four performance bands:

5.3 Exceptional performer

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

5.4 Sound performer

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

5.5 Developing performer

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

5.6 Under performer

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

5.7 People Development Meetings will be held within all management teams which will:

- Explore performance bandings, ensuring consistency across the team
- Consider development plans for employees in light of current capability needs within and outside of the team, and the capabilities the Organisation needs to develop for the future. This will include identifying secondments, changes to responsibilities and personal development activities where appropriate.
- Review action plans for underperforming employees to ensure they have appropriate help back to performance including the use of HR policies.

6.0 THE ROLE OF THE REVIEWER'S MANAGER

6.1 The reviewer's manager has a key role in the Appraisal Review process.

6.2 They ensure a consistent approach is taken in the setting of objectives and expectations, how performance is measured and how development is supported. This is done by facilitating the team preparation meeting before reviews are carried out and by subsequently signing off completed reviews and participating in People Development Meetings.

6.3 Facilitate Team Preparation Meetings for their direct reports. This includes ensuring the consistency of objectives set and their alignment with organisational strategy and business plans and a consistent approach to the allocation of performance bandings.

6.4 Monitor the progress and completion of Appraisal Review Meetings for their direct reports.

6.5 Sign-off completed Appraisal Review Meeting forms.

7.0 QUALITY AND MONITORING

7.1 Quality is monitored to ensure the quality and consistency of Appraisal Review meetings and that meetings are taking place across the organisation.

7.2 All individual Appraisal Review Meeting forms will be reviewed by the Reviewer's Manager following the meeting for sign off. This enables the reviewer's manager to ensure the consistency of the objectives set and their alignment with organisational strategy and plans, and the performance bandings allocated. It also enables them to understand the performance and talent within their team, and to support their team in ensuring adequate focus is given to managing each individual in their team appropriately.

7.3 Where the outcomes of an Appraisal Review Meeting do not appear to be of sufficient quality or consistency, the reviewer's manager will explore this with the reviewer and the

reviewee to understand the reasons behind this and ensure a consistent approach in the future. Meeting outcomes should be adjusted as necessary before paperwork is signed off by the relevant committee.

8.0 PLANNING DEVELOPMENT INCLUDING PERFORMANCE DEVELOPMENT PLANS (PDPS)

8.1 The reviewer and the reviewee share responsibility for identifying learning needs and taking advantage of learning and development opportunities. An individual PDP will be kept up to date and referred to during Appraisal Review Meetings.

8.2 Individual PDPS will encompass learning needs relating to:

- Development of the core capabilities the ICB need to develop
- Recovery of performance objectives / standards missed in the last performance year including technical training
- Development of ability to act congruently with the ICB's values
- Demonstrating Organisational Competencies
- Learning to support the achievement of performance objectives and standards for the coming year

8.3 Learning is most effective in causing an improvement in performance and personal change when it is conducted according to the following ratio:

- 70% of development is on the job
- 20% of development comes through learning from others
- 10% of development comes from formal learning opportunities

9.0 INCREMENTAL PROGRESSION

9.1 Pay Progression

9.2 Staff in post prior to 31 March 2019.

- During the three year pay award ending on 31 March 2021, current organisational pay progression will continue to apply, unless the employee is promoted to a new post.
- An employee's incremental point will be awarded on their anniversary of starting or promotion date automatically in ESR. There will be no need to complete any paperwork to receive the award.
- Therefore, during the transition period, staff may receive a combination of their incremental uplift and the annual pay award.
- Despite these awards continuing to be automatic, it is important that all employees undertake an annual appraisal and complete all their mandatory training.

- The automatic award of the incremental point will cease on 31 March 2021.
- For employees to track their individual pay journey, they can access this via the [pay journey tool](#).
- For those staff on Band 8c, 8d and 9 where a re-earnable process is in place prior to 01 April 2019, this process will continue until 31 March 2021.

9.3 Staff appointed or promoted since 01 April 2019

- Staff employed or promoted on or after 01 April 2019 will be required to follow the new pay progression system in order to receive their pay step increase.
- Pay step increases will no longer be automatic and staff will be required to demonstrate the following standards in order to receive their pay step increase:-
 - An annual appraisal has been completed within the last 12 months and outcomes are in line with organisational objectives
 - There are no formal capability processes in place (excluding absences related to ill health)
 - There are no formal disciplinary sanctions live on the employees' record
 - Statutory / Mandatory training has been completed
 - For line managers only – appraisals have been completed for all the staff as required.
- If an employee has been able to demonstrate the requirements detailed above, they will be eligible for their pay step increase.

9.4 Re-earnable process for Band 8c, 8d and 9

- The principles and requirements for the pay progression and the re-enable process for Bands 8c, 8d and 9 are the same principles and standards as detailed above.
- Once an employee has reached the top of their band, the expectation is that the employee will continue to meet the required standards and will re-earn the relevant element of pay annually.
- The first point at which a re-earnable element becomes relevant is 12 months after the employee has passed through their pay step point and reached the top of their band.
- In the year after the employee has reached the top of Band 8c, 8d or 9, 5% or 10% of basic salary will become re-earnable. Where the standards are met, salary will remain at top of the band. If the standards are not met, then the salary may be reduced by 5% or 10% from the pay step date (further guidance to be defined by NHS Staff Council). If the reason an employee cannot demonstrate one of these standards due to factors beyond their control, then this should not affect their pay progression.
- The employee will be able to restore their salary to the top of the band the following year by meeting the required standards.

- 9.5 ESR will be closed to automatic pay step increases for new and newly promoted staff as of 01 April 2019. Line Managers will therefore be required to complete the form found in appendix 6
- 9.6 Line Managers will be notified between 60 and 90 days in advance via ESR, that a member of their team is due a pay step increase and will be expected to undertake a Pay Step Review Meeting with the employee at least one month in advance of their pay step anniversary.
- 9.7 Appraisal Review Meetings will need to take place each year regardless of whether there is a pay step increase scheduled for that year or not.

9.8 The Pay Step Review Process

Step 1

Between 60 and 90 days before an employees Pay Step Date is due, a Manager must meet the individual for a Pay Step Submission Review (Appendix 6). This meeting will determine whether the employee can progress through the next Pay Step and should draw on the most recent appraisal. Employees will progress to the next pay step point on their pay step date where the following can be demonstrated:

- The appraisal has been completed within the last 12 months and outcomes are in line with the Organisational standards
- There is no formal capability process in place
- There is no live disciplinary sanction on record
- Statutory and Mandatory Training is 100% complete
- For Line Managers only – appraisals have been completed for all staff they manage

Where factors beyond the employee's control, such as organisational or operational issues, have prevented compliance with any of the above requirements, these should not prevent the employee from progression. Managers should ensure that they take full account of such factors and employees bring to the attention of their line manager as soon as possible so that these can be addressed and remediated.

Step 2

At least 1 month before the Pay Step Date and once Step 1 been completed, the manager should enter, under Pay Progression Meeting Review on ESR, the outcome of the meeting. If the individual can progress to the next pay step, this will be actioned on ESR.

Step 3

If the Standards have not been met, this should be entered onto ESR. The Line Manager should discuss and agree a plan with the employee for any remedial action needed, including timescales. On successful completion, the manager will apply the Pay Step following the deferral, by adding a new Pay Progression Meeting Review and select 'Yes, following deferral'

If a Line Manager is considering not approving the Pay Step, they must speak with HR before the discussion with the employee or this is actioned on ESR. It is expected the large majority of employees will be approved for their Pay Step and only where formal action has already been taken in relation to capability / performance, may this defer a Pay Step.

9.9 Decisions to delay a pay Step

It is expected that staff will achieve the required standards at the point of their pay step. It is also expected that staff and their line manager should have regular discussions about any problems in reaching the required standards before the pay step date. This will allow time for issues to be raised and possible solutions found to enable the pay step point to be opened on time.

In cases where the standards have not been met and there are no mitigating factors sufficient to justify this, it is expected that an individual's pay step will be delayed subject to the arrangements outlined below.

The line manager must use the pay step review meeting process to discuss the standards that have not been met and previous discussions about, these and record their decision.

The line manager should advise the employee of the right to appeal any decision using the ICBs Grievance Policy.

The Line manager should also discuss and agree a plan with the employee for any remedial action needed to ensure that the required standards for pay progression are met, including a timescale and how any training and support needs will be met.

A further pay step review meeting should be arranged at an agreed date to review progress and where satisfactory, initiate the opening of the pay step. The effective date for progressing to the next pay step should be the earliest date that the relevant requirements are shown to have been met. The pay step date for future years will remain unchanged.

Where a pay step is delayed due to a live disciplinary sanction or a formal capability / performance process, the line manager should initiate a pay step review meeting before the expiry of the sanction or capability plan. This should be used to confirm all other requirements have been met and to ensure that the staff member progresses to the next pay step, effective the date after the sanction expires. The pay step date will remain unchanged.

A disciplinary sanction cannot be applied retrospectively to delay a pay step it comes into effect after the pay step date.

9.10. Absent from work when pay step review is due

If a staff member is absent from work for reasons such as sickness or parental leave when a pay step is due, the principle of equal and fair treatment should be followed so that no detriment is suffered as a result.

In the case of planned long term paid absence such as maternity, adoption and shared parental leave the pay step review can be conducted early if this is reasonable and practical, allowing the pay step to be applied on their pay step date in their absence.

If an individual is on planned long term paid absence such as maternity, adoption and shared parental leave and a pay step review cannot be conducted prior to the pay step date, the pay step point should be automatically applied in the individual absence, subject to equal and fair treatment,

If there is a live disciplinary sanction in place at the point the individual commenced their leave, the pay step point should be applied in their absence if appropriate, effective the day after the sanction expires.

If there was an active formal capability / performance process underway, at the point they went on leave, the pay step point can be delayed. The improvement process should be resumed immediately upon their return. On satisfactory completion, the period of their absence should be set aside, and the pay step point backdated to an agreed date as if they had completed the improvement process without being absent.

The ICB will need to take particular care to avoid any discrimination or detriment on the grounds of maternity, sex or disability that could arise in relation to staff on maternity/adoption/parental or sick leave.

Suspension from work on full pay is a neutral act, in order to ensure this is the case, employers should ensure that the pay step point is applied from the pay step review date where an individual is suspended on that date, provided they were meeting the required standards at the point of suspension.

10.0 APPEALS PROCESS

- 10.1 All individuals will have the right to appeal to the application of this policy via the ICBs Grievance Policy and Procedure.

11.0 FRAUD BRIBERY AND CORRUPTION

- 11.1 Unfortunately fraud, bribery and corruption, as well as theft, does occur throughout the NHS, and as such all NHS employees have a duty to ensure that public funds are protected. The ICB is committed to reducing the level of fraud, bribery and corruption (economic crime) within the NHS to an absolute minimum and keeping it at that level, freeing up public resources for better patient care.

- 11.2 If an employee, manager or volunteer suspects that there has been a potential act of fraud, bribery or corruption against the ICB or the wider NHS, or has seen any suspicious acts or events, they must report the matter to the ICB's Counter Fraud Team (contact details can be found on the ICB's public website) or report the matter to the NHS Fraud and Corruption Reporting Line on 0800 028 4060. Alternatively reports can be made through the online reporting tool at <https://cfa.nhs.uk/reportfraud>. Further advice on counter fraud issues is available from the Executive Director of Finance, Deputy Executive Director of Finance/Fraud Champion and the ICB's Counter Fraud Team.

ICB Counter Fraud Contact details:

Paul Westwood (Heads CW Audit's Counter Fraud Team and is the ICB's nominated Local Counter Fraud Specialist)

Tel: 07545 502400

Email: paul.westwood@cwaudit.org.uk

Email: pwestwood@nhs.net (secure)

12. Counter Fraud

- 12.1 This policy should be read in conjunction with the ICB's policies covering counter fraud, bribery and corruption which can be found on the ICB's website (<https://www.shropshiretelfordandwrekin.nhs.uk/>) or you can contact a member of the Team who will be able to supply a copy.

Appendix 1 - Preparing for your Appraisal

Your appraisal aims to discuss the competencies, knowledge and skills you need to have to function well in your role. It looks at your training / learning needs to meet your job requirements and possible career aspirations. It is an opportunity to look at your role, workload, to look back on what you have achieved during the year and to agree where necessary areas of development for the forthcoming year and beyond.

It is recommended that you consider the questions on the self-appraisal questionnaire (below) prior to your review as this will be used as the basis for discussion in your review meeting.

Other documents you need to refer to in order to prepare for the review include:

- Previous appraisal documentation and personal development plan
- Evidence of progress and achievements
- Job description
- Mandatory training certificates

(If this is your first appraisal you may not have all of these)

Self-Appraisal Questionnaire

| |
|---|
| To what extent if any have the objectives from your last review have been achieved and what has been learned from these? |
| How well do you feel you perform in your role? |
| What have been your major successes or achievements over the last 12 months? |
| Are there any significant changes in carrying out your role you feel could be made to benefit the clients, staff etc. or improve performance? |
| What do you feel you do well? |
| What areas for improvement in your role can you identify? |
| What learning and development has been undertaken during the period under review and how has this been used in practise? |
| What development is needed over the next twelve months to help you achieve your role objectives and to support your career development? (Record details on Personal Development Plan) |

Please submit this form to the appraiser in advance of your appraisal

Objectives

| | | | |
|--------------|-------------------|---------------------------------|---------------------|
| Name: | Job Title: | Line Manager/Supervisor: | Review Date: |
|--------------|-------------------|---------------------------------|---------------------|

Objectives (you should try to limit these to a maximum of 4)

| No. | Individual/Team Objective | Target date | Success Criteria <i>How do I measure that I have achieved this</i> | A = achieved B = partly achieved C = not achieved | <u>Notes/Barriers to achievement</u> |
|-----|---------------------------|-------------|---|---|--------------------------------------|
| 1 | | | | | |
| 2 | | | | | |
| 3 | | | | | |
| 4 | | | | | |

Signed: Appraisee

Line Manager:

Indicators for measuring performance and a plan of how the objectives are to be measured should be agreed between the manager and the individual. Remember objectives should be **SMART: Specific, Measurable, Agreed, Realistic, and Time related and should reflect corporate objectives**. For those who manage staff one objective should relate to this role as managing/supporting the development of these individuals.

Copy to employee and reviewer (personal file)

Copy to ICB admin team for monitoring date appraisal took place and overall compliance levels in the ICB

PERSONAL DEVELOPMENT PLAN (PDP)

Employee Name: **Reviewer:**

| Development Need Identified (link to objectives) | Method / Action Intervention | Date for completion / review | Evaluation of progress | Impact on role / development? |
|---|---------------------------------|---------------------------------|------------------------|----------------------------------|
| | | | | |
| | | | | |
| | | | | |

Copy to employee and reviewer (personal file)

RECORD OF PERSONAL DEVELOPMENT REVIEW

| | | | |
|---|--------------------------------------|--|------|
| Period under review (from and to) | Date of this review meeting | | |
| Post-holder's Name | Post-holder's job title and pay band | | |
| Post-holder's work base | Incremental date | | |
| Were last year's agreed learning and development needs met? Please state YES/NO | | Has a personal Development Plan been agreed for the next 12 months Please state YES/NO | |
| Names/Signatures – please print names clearly (Manager's Name – Authorised signatory – required to confirm entitlement to pay progression at reviews only) | | Post-holders Signature | Date |
| Reviewer's Name | | Signature | Date |
| Manager's Name | | Signature | Date |

Copy to employee and reviewer (personal file)

