

Livewell Southwest

## **Appraisal and Line Management Policy**

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### **Notice to staff using a paper copy of this guidance**

**The policies and procedures page of Intranet holds the most recent version of this guidance. Staff must ensure they are using the most recent guidance.**

**Author: Professional Lead & Human Resources**

**Asset Number: 11**

## Reader Information

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<b>Policy Author's Manager</b>	Dawn Slater, Director of People and Professionalism
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<b>Stakeholders</b>	All non-medical employees directly employed by the organisation whether permanent, part-time or temporary (including fixed term contract). For simplicity, they are referred to as 'employees' throughout this policy
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<b>Supersedes document</b>	Appraisal and management supervision policy v.3.12
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### Document review history

Version no.	Type of change	Date	Originator of change	Description of change
For previous review history please contact the PRG secretary.				
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V3.7	Minor Amend	June 2018	HR	Update to appendix 2 – replace 5 aims with new strategy information.
V3.8	Minor Amend	November 2018	HR	To include preceptorships
V3.9	Minor Amend	September 2019	Workforce Policy Group	Updated reference to Declarations of Interest Policy
V3.10	Minor Amend	October 2019	HR	Outdated forms replaced
V3.11	Extended	April 2021	HR	Extended
V3.12	Extended	November 2021	HR	Extended
V4	Full review	9/12/22	HR	Full review

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# Appraisal and Line Management Policy

## 1 Introduction

- 1.1 It is the policy of the Livewell Southwest (LSW) that all staff will take part in the staff appraisal process and receive regular line management. Clinical staff may also be required to participate in Practice Supervision (See Practice Supervision Policy) and Caseload Discussion and Review Guidance.
- 1.2 Staff appraisal is seen as a key component of good management practice, and research evidence shows that regular appraisal has a direct and positive impact on both organisational performance and people who use our services. The appraisal process aims to strike a balance between identifying achievements, reviewing competence and performance, agreeing objectives, and identifying any training and development needs.
- 1.3 At the end of the process staff will have set objectives and identified any development needs. LSW will ensure that all staff have access to the appropriate training and development opportunities to enable them to meet the core competencies for their post, and any objectives and / or development needs as set out in their appraisal.
- 1.4 LSW also recognises the importance of effective line management of all staff, including those who are managers themselves. Regular line management should result in better communication, clearer priorities and objectives, improved performance and motivation, and early warning of any problems staff and managers are encountering.
- 1.5 Appraiser is the Line Manager and Appraisee is the employee.

## 2 Purpose

- 2.1 The purpose of this document is to advise all employees of their responsibilities in relation to staff appraisal and line management, and to provide detailed guidance for staff and managers on the operation of the process and the action required to meet the requirements.
- 2.2 LSW has separate policies for Performance Management, Practice Supervision and Caseload Discussion and Review Guidance which should be read in conjunction with this policy.
- 2.3 **The potential benefits of this process include the following:**
  - Better communication between managers and staff.
  - Greater clarity of objectives and priorities.
  - Improved performance.
  - Improved motivation.
  - Early warning of any actual or potential problems.
  - Support tailored to the individual's needs.

- Better relationships arising from constructive feedback.
- Better use of individual skills and experience.
- Better monitoring of individual workload and support mechanisms.
- Time for reflection on the role by postholder and manager.

### 3 Definitions

#### 3.1 Glossary of terms and abbreviations used in this policy

Dimensions	Dimensions form the main components of the KSF framework. There are core and specific dimensions
Indicators	These describe the level at which knowledge and skills need to be applied.
Level Descriptors	Each dimension has a level description which shows successively more advanced levels of knowledge and skill.
PDN	Personal Development Needs
CPD	Continuing Professional Development
Evidence	Proof of an individual's work and/or development, which may be written or electronic. All identifiers should be anonymised.
NVQ	National Vocational Qualification
SMART	Objectives should be Specific, Measurable, Agreed, Realistic and Time-Bound.
LSW	Livewell Southwest
Appraisal	A process for reviewing staff performance and agreeing Personal Development Needs
Line management	A process of regular meetings between an employee and their line manager designed to support the employee and allow for discussion and resolution of any problem areas with their work.
Practice Supervision	A practice focussed professional relationship, involving a practitioner reflecting on practice guided by a skilled supervisor (NMC definition) Practice Supervision Policy v4 (on Health net)
Caseload Discussion and Review Guidance	The process of reviewing an individual's caseload and record keeping on a regular basis, via structured meetings with the line manager, using any relevant caseload weighting tools.
ESR	Electronic Staff Record
EA	Equality Act 2010
HR	Human Resources Department
WTE	Whole Time Equivalent
PTD	Professional Training and Development (including Training Team)

## 4 Duties & responsibilities

4.1 The **Chief Executive** is ultimately responsible for the content of all policies, implementation and review.

### 4.2 Responsibilities of **Director(s) / Assistant Directors**

- Implementing and monitoring this policy within their service areas, which includes ensuring that all staff and managers participate fully and taking appropriate action if this is not the case.
- Determining which managers are responsible for carrying out appraisal, line management and practice supervision for specific employees, and ensuring no individual has to appraise or line manage more than 10 staff.
- Ensuring that the job descriptions for all management and team leader posts within their Directorate specify the requirement to carry out appraisals, line management and practice supervision, and that this important role is monitored.
- Ensuring that staff have access to appraisal and line management training when indicated.

### 4.3 Responsibility of **line managers (appraisers):**

- Implement this policy and procedure as appropriate, in accordance with the guiding principles outlined to enable that employees develop and utilise their skills and behaviours required for their roles.
- Communicate effectively the competencies and the behaviours expected in performing those roles.
- To conduct an objective appraisal, at least on an annual basis, of the employee's work against the required standards, including an assessment of the employee's achievement of any personal or organisational objectives, values and behaviours.
- If the pay step date is different to the appraisal date the manager must conduct a pay step review meeting and complete a file note to record the discussions. If the pay steps are deferred this must be confirmed in writing with the employee as detailed in section 7 of the Pay Progression Policy.
- To ensure employees understand what evidence they will need to demonstrate they have met the required standards for pay progression.
- Complete all documentation as required in a timely manner, including the notification via the Electronic Staff Record.
- Ensuring that all staff within their service area participates in regular line management.
- Ensuring, where appropriate, that colleagues such as professional leads, or clinical leads are involved in the appraisal process (Section 6).
- Attending training to develop and maintain skills to carry out appraisals and practice supervision effectively.
- Notifying the relevant Director / Assistant Director for your area if there are any issues preventing regular appraisal and line management within the team.
- Making appropriate adjustments to support any staff with disabilities or other

special needs to take part in the process.

#### 4.4 Responsibility of all **staff (appraisee)**:

- Actively participating in the review of their own development and progress towards agreed objectives via appraisal, practice supervision and line management.
- Preparing for their appraisal (reasonable work time will be given to prepare, dependant on role).
- Requesting an appraisal, practice supervision or line management meeting if needed and alerting the line manager to any problems.
- Completing relevant documentation with their appraiser (please see separate document).
- Collecting evidence throughout the year to demonstrate competence in their role.
- Undertaking agreed development and applying the learning in the workplace and providing evidence of this.

#### 4.5 Responsibility of the **Training Department**:

- The provision of appropriate training and awareness sessions for managers and staff.
- Supporting the implementation of the policy.
- Monitoring implementation of the policy across LSW through training.
- Producing regular reports on training needs and themes for managers.
- Collating professional and personal development needs from the appraisal uploading and using it to inform the training plan in the future.
- Ensuring that information regarding training needs feeds into the training strategy and annual plan.

## **5 Principles of the appraisal and line management process**

5.1 All staff with substantive contracts including fixed term contracts will participate in this appraisal and line management process, including an annual appraisal meeting. All staff as above should have an annual appraisal and regular agreed line management unless there are exceptional circumstances such as extended periods of leave, service delivery pressures or staff sickness.

5.2 This process and individual objectives should be aligned to meet the Organisations aims,

5.3 All new staff following their induction should start to work on their PDN after four weeks. This PDN must be completed within three months. This will identify development needs including any mandatory training. They should also receive regular line management to prepare them for an appraisal after 12 months in post.

5.4 Some staff groups e.g. Dentists, Doctors and Adult Social Care have a different process but still need to participate in an annual appraisal.



- 5.5 It is important that the ongoing line management and annual appraisal meetings should be a positive, constructive and motivational experience. Line management meetings will normally be carried out on a one-to-one basis by the employee's direct line manager – the frequency should ideally be mutually agreed but should not exceed 12 weeks; in addition there will be an annual appraisal.
- 5.6 It would be difficult for any full WTE appraiser to supervise more than 10 appraisees, given the amount of time required to monitor their performance and support their development. When determining the number of employees to be appraised the appraisers should take in account their own WTE to reflect numbers to be appraised. Where this occurs, it is recommended that the appraiser discuss this with their own line manager to consider whether the team could be restructured, or some of the appraisals delegated. Where appraisals are delegated, then suitable guidance and training must be provided.
- 5.7 Prior to undertaking appraisals, line management and practice supervision, all managers/appraisers will participate in appropriate training to fulfil this role.
- 5.8 Appraisers will provide feedback to staff on their performance through regular line management throughout the year, and therefore there should be 'no surprises' at the appraisal meeting. If any problems have been identified with the appraisee's work or development during the year, these should be addressed at the time they arise, and not left until the appraisal meeting. Where issues of poor performance are identified, these should be dealt with separately using LSW's Performance Management Policy.
- 5.9 Appraisees should have confidence that the outcome of the appraisal meeting will be shared only with colleagues who have a legitimate need to know, appraisees to be notified accordingly.
- 5.10 The appraisal and line management process will be conducted in accordance with good employment practice in terms of ensuring equality of opportunity and management of diversity.
- 5.11 Assistant Directors/Executive Directors will be monitoring whether appraisals are up to date.

## **6 Who should be involved in the appraisal and line management process?**

- 6.1 Appraisal and line management meetings will be carried out on a one-to-one basis normally by the employee's direct line manager. It is important that the appraisal process should feel supportive to the appraisee, and not intimidating.
- 6.2 In some cases, it may be appropriate for individuals other than the employee's direct line manager to be involved in the process at some stage. For example:
- The employee may have more than one line manager/appraiser due to having a split post or working across partner organisations.

- The employee may be in a rotational post.
- The team may be too large for one senior individual to undertake all the appraisals personally, in which case other senior colleagues can act as appraisers by local agreement.
- The line manager may be from a different profession, in which case it is essential that colleagues from different speciality, professional practice are involved. A peer review process would also enable competencies to be assessed from a professional or clinical perspective.
- The employee may have spent all or part of the previous year undertaking a project or secondment in another area.

6.3 In such cases, an agreement should be reached after commencement in their role, and well in advance of the appraisal date as to who will be responsible for the ongoing line management and appraisal. If the appraisee is agreeable, then a joint appraisal meeting could be held with two appraisers. Alternatively, separate pre-meetings could be held, and the appraisal meeting could be used to summarise and pull the outcomes of the discussions together.

## **7 Objectives of the appraisal and line management meetings**

### **7.1 The appraisal meeting will have the following main objectives:**

- To review and update the employee's Job Description / core competencies.
- To assess competence in the role and prepare for revalidation / professional re-registration – for some staff it could be that appraisal should be immediately before re-registration to aid preparation.
- To discuss aspirations, reflect on the past year and acknowledge sound performance. Any performance issues being addressed should be briefly recorded but managed under the Performance Management Policy.
- To agree development needs based on the above.
- To review the employee's performance against any other agreed objectives, and to set objectives for the next 12 months.
- To set objectives for the next 12 months in the context of any relevant team/ Directorate / Organisational objectives.
- To discuss health and wellbeing but any issues raised should be addressed through appropriate route.
- To discuss other related issues such as secondary employment (Working Time Regulations Policy) and conflicts of interest (Refer to Acceptance of Gifts / Hospitality Policy and Declarations of Interest Policy) which might impact on job performance and individual wellbeing

### **7.2 The objectives of line management meetings are as follows:**

- To discuss any changes to the responsibilities listed in the job description, or other aspects of the job role.
- To review individual workload, performance and professional development.
- To provide support, coaching and guidance.
- To offer feedback to the staff member about their performance.

- To discuss strengths and achievements as well as concerns, or perceived gaps in knowledge or skills.
- To assess competence in the role and prepare for revalidation / professional re-registration.
- To agree, review and evaluate goals and action plans.
- To follow up any issues discussed at the annual appraisal meeting.
- To discuss any issues relating to the team that cannot appropriately be discussed at team meetings.
- To exchange information relating to individual practice and developments within the Team, Directorate and Organisation.
- To discuss any other concerns and ask questions.
- To review individual attendance and any absences from the workplace.

## **8 Appraisal Meetings – Guidance**

### **8.1 Introduction**

- 8.1.1 The annual appraisal meeting offers protected time for each member of staff to meet with their appraiser to discuss their achievements and progress and agree ways to develop their knowledge and skills and any previously agreed objectives.
- 8.1.2 The meeting should allow for an open discussion about performance, achievements, and development needs, so that the appraisee is equipped to fulfil the role expected of them.
- 8.1.3 The appraiser will initiate the process each year by contacting the appraisee to agree a date, time and suitable venue (where you will not be disturbed by calls or visitors) for the appraisal meeting.
- 8.1.4 As a general guide, you should allow about two hours for the meeting, although you may not use all of this time. It will depend on the individual appraisee, how they are getting on, and the nature of the job. This time must be ring-fenced.
- 8.1.5 Once you have set a date for the meeting, make sure you keep to it. Changing the agreed date will undermine the process.
- 8.1.6 Some roles within LSW will use competencies which are specific to the role. To develop competencies, please refer to the Competency Guidance and Template document on the document library.

### **8.2 Preparation**

- 8.2.1 Appraiser and appraisee should both prepare for the meeting by reviewing the current job description, any LSW competencies specific to their role, personal development plan, and any paperwork from the last appraisal meeting.
- 8.2.2 Good preparation is very important and the following will be needed:

- Adequate notice and protected time to prepare (appraisal preparation should be done in work time).
- A copy of any competencies relevant to the role.
- Evidence of revalidation / professional re-registration work.
- A copy of the relevant job description.
- A copy of the paperwork from the last appraisal (if available).
- The appraisal paperwork (available as a separate document).
- The portfolio / evidence the employee has been collecting all year to demonstrate application of the knowledge and skills.
- Evidence of issues raised in previous 12 months and any action taken.

8.2.3 If the appraisee has any problems accessing or completing the paperwork, help and advice should be offered. The paperwork has been designed to meet the needs of the majority of staff. Amended paperwork can be agreed to suit particular staff groups in discussion with the Human Resources team.

8.2.4 Prepare by looking at the areas covered by the appraisal paperwork and (for the appraisee) pulling together the evidence that has been collected over the past 12 months to answer the questions within the paperwork and questions regarding competence and professional re-registration where appropriate. This will help you both focus on areas that are going well and help to identify any areas for improvement - make sure you have specific examples.

### **8.3 The Appraisal Meeting**

8.3.1 The appraiser and the appraisee then meet to review the application of knowledge and skills as identified, produce a development plan, and discuss the previous year's performance.

8.3.2 During the meeting, both parties will need to use good communication skills such as active listening and asking open questions so as both parties feel involved. The paperwork should support the discussion.

8.3.3 The discussion should focus on a fair and accurate summary of work performance, achievements and development over the review period; provide a basis for planning development for the coming year. It should consider how competence has been achieved and evidenced, and record development needs and opportunities in relation to performance.

8.3.4 When reviewing individual performance, the discussion should focus on how the appraisee has demonstrated and maintained competence over the year and addressed development needs and opportunities. It is best to keep focussed on actual examples of work in order to enable a more constructive discussion. The appraiser may offer constructive feedback, backed up with specific facts and examples.

8.3.5 The manager should ensure that the appraisee is aware of any organisational, directorate or team objectives relevant to their work which would influence any personal objectives set at the appraisal.

8.3.6 During the meeting, the learning and development needs to become competent and maintain competence for the post should be discussed, as well as including any statutory and mandatory training. Development activities need to be considered in the light of organisational and service priorities and therefore should be linked to the appraisee's objectives. It should be borne in mind that, whilst making every effort to support training and development activities, LSW may not always be able to meet individual interests and career aspirations.

8.3.7 Bear in mind, that formal training and education courses are not the only options for development. There are many others, such as coaching, mentoring and job shadowing, all of which can develop an individual's skills and knowledge.

8.3.8 By the end of the meeting, there should be agreement on:

- The level of competence.
- Any development needs for the coming year.
- Progress made towards any previously agreed objectives.
- Objectives for the next 12 months.
- Level of competence for the role, evidence of competence and preparation for revalidation / professional re-registering.

8.3.9 Conclude the meeting by summarising what has been agreed and setting a review date (next line management meeting) for approximately 2-3 months (or as agreed within the service area).

## **8.4 After the meeting**

8.4.1 **The appraisal paperwork, set out in Appendix 1 and the personal development needs set out in Appendix 2** will be jointly completed and signed by both appraiser and appraisee within four weeks of the appraisal meeting. Both parties will retain a copy for use during the year at line management and practice supervision meetings, and at the next appraisal meeting. The appraiser and appraisee should ensure they follow up any agreed action points.

8.4.2 A copy of the appraisal is to be entered onto ESR by the appraiser / line manager or sent to Professional Training and Development to enter. This will ensure team and directorate objectives are aligned.

8.4.3 A copy of the Development Plan must be sent to Professional Training and Development.

## **9 Preceptorship Guidance – For more information please see the Preceptorship Guidance on the intranet**

During a preceptorship period, the newly registered staff member will usually utilise and follow the Preceptorship guidance. Therefore, this would replace the standard appraisal and line management process during the first year of professional registration.

## 10 Line Management - Guidance

- Before undertaking line management, managers must be familiar with this policy and undertake training if required.
- It is recommended that each member of staff should meet with their designated line manager at least once every 3 months for line management.
- As part of their own professional development, managers need to review their competence in terms of this role, and be open to feedback from others including their own team as to their management style.
- Line management should be a structured and consistent process involving regular meetings between the manager and each team member.
- The meetings should be held in a suitable location where privacy can be assured. Arrangements should be made to avoid interruptions.
- The frequency of such meetings will depend on a number of factors, including the needs of the department and staff group, the nature of the work, the pace of change within that area of work, and how experienced the employee is. In general, a meeting at least every 12 weeks is recommended, Managers who meet with their staff more frequently than this may wish to review the frequency of meetings and the documentation. In general, if more frequent meetings are appropriate, then the level of documentation per meeting could be lighter with some issues reviewed every 12 weeks.
- If extra support and line management is needed (e.g. more frequent meetings), then this can be agreed between the line manager and the member of staff.
- Line management should be a confidential activity with clear boundaries. The only exceptions are if an unsafe, unethical or illegal practice issue is identified where the appropriate procedures have not been followed, then advice would be sought from an appropriate manager, professional lead or senior supervisor.
- The Record of Line Management set out in **Appendix 3** details the issues to be discussed during the meeting.
- A written record of the meeting will be kept, and this will be signed by both parties. The original will be kept by the line manager in the employee's personal file, and the employee will also have a copy.
- Line management is therefore an opportunity to flag up any changes which may be required in performance or behaviour. The manager should monitor progress and review the situation at the next meeting to ensure the change has taken place.

## 11 Collection of evidence for the appraisal (this could also be discussed within line management)

11.1 All staff are required to collect evidence of competence throughout the year. There are examples of portfolio evidence for those requiring re-registering of their professional qualification. Examples of possible evidence are as follows:

- Certificates – ideally with evidence of how the learning has been applied.
- Learning logs – what you learned and how you are using your learning in your work.
- Your own written account of things you have done, which may include how you did it, what you achieved, what you learned, and/or how you would do it better next time e.g. a meeting you attend and what you have contributed. Sometimes called “reflective practice”.
- Anything relevant from your personal / professional portfolio e.g. reflective log, description of how you have changed your practice.
- Your notes from meetings with a coach, mentor, tutor, clinical supervisor, and peer review sessions etc.
- Feedback from clients/patients/customers e.g. thank you letters.
- Results of questionnaires/surveys.
- Feedback from colleagues/manager/staff (could be based on their observation of your work, teaching, giving a presentation, etc).
- Copies of e-mails or other paperwork indicating achievement of tasks.
- Minutes of meetings you attend. May include evidence about how the team has developed the service. May include record of team achievements in last 12 months. May show your contribution and suggestions.
- Witness statement/feedback from work based assessor/ trainer.
- Results of any audits or evaluations of your work.
- Reports from external assessments of your work area e.g. Healthcare Commission, Investors in People.
- Report on how you have dealt with complaints or significant incidents i.e. what happened and what you have done to reduce risks and improve the service.
- Reading.
- Participation in research, mentoring, professional organisations.
- Photos (if appropriate).

It is much better to collect this evidence throughout the year rather than leave it to the last minute.

To ensure adherence to the Data Protection Act, please remove all third party information or personal data unless explicit consent received from person referenced.

## **12 Exceptional Circumstances**

### **12.1.1 Discussing difficult issues and giving feedback during line management and practice supervision**

12.1.2 Occasionally, individual performance or behaviour may fall short of

requirements and it is the role of the line manager to work with the individual to address this. The first step of this process is simply to ensure that the individual is aware of the standards required. Whilst this should normally be achieved through basic induction and training, sometimes requirements change and staff must be made aware of this.

12.1.3 If the issues remain unresolved, then LSW's Performance Management Policy gives further guidance. By having separate meetings specifically to discuss the performance problem, this allows support mechanisms such as line management and appraisal to continue.

12.1.4 The Disciplinary Policy should be used only where issues of misconduct are identified, either during line management or practice supervision or in some other way.

## **12.2 Disagreement between line manager and appraisee about the outcome of an appraisal or line management meeting.**

12.2.1 If the individual member of staff and their manager/appraiser cannot agree, either one has the right to seek support on an informal local basis from a third party, such as a senior manager, professional lead, someone from the HR department, or a Trade Union representative. This third person may seek further information from the manager and/or the individual member of staff. If the informal process cannot address the problem, then the individual member of staff can take their case through local grievance procedures.

## **12.3 Standards of Pay Progression**

12.3.1 Employees will progress to their next pay-step point in their pay band where they demonstrate the following requirements have been met:

- The appraisal process has been completed within the last 12 months and the outcome is in line with the organisation's aims and values.
- No formal capability\* process is in place.
- There is no formal disciplinary sanction live on the employee's record. This only applies to disciplinary sanctions and not disciplinary investigations which may be in progress and awaiting an outcome. Sickness absence cautions are excluded.
- Mandatory training has been completed.

\*capability – means that the employee has not been placed on formal performance monitoring as per the performance management policy.

12.3.2 Where factors beyond the employees control have prevented compliance with any of the requirements detailed above e.g. training being cancelled, this should not prevent them from progressing. Employees should bring such factors to the attention of their line manager as soon as possible (not waiting until the pay-step review) so that these can be addressed and remedied.

12.3.3 Although employees must have successfully completed the appraisal process



by their pay step date in order to move to their next pay-step point, the date of the appraisal is not necessarily linked to this (see section 7 of the Pay Progression Policy).

12.3.4 For further details please read the Pay Progression Policy - [Livewell Staff Hub - P - All Documents \(sharepoint.com\)](#) and the [Pay-progression-manager-guidance-2019\\_0.pdf \(nhsemployers.org\)](#).

### **13 Training implications**

Training will be provided to managers, as required, on their duties in relation to this policy.

### **14 Monitoring compliance**

14.1 Compliance with appraisal is monitored centrally via the Performance Databook, and the production by the training department of a training needs analysis following receipt of Development Needs. Managers are expected to take any action required to ensure all staff are receiving regular appraisals.

14.2 The staff survey may also give an indicator of the percentage of staff receiving appraisal and their opinions on the quality of the appraisal meeting.

14.3 Compliance with local requirements for line management will be monitored by the relevant Director/Assistant Director or other nominated lead.

**All policies are required to be electronically signed by the Lead Director. Proof of the electronic signature is stored in the policies database.**

**The Lead Director approves this document and any attached appendices. For operational policies this will be the Assistant Director.**

**The Executive signature is subject to the understanding that the policy owner has followed the organisation process for policy Ratification.**

Signed: Director of People and Professionalism

Date: 24<sup>th</sup> January 2023

**Appendices - Access to the appendices is available in the following links:**

Appendix 1	Record of Staff Appraisal Meeting: <a href="#">Appraisal paperwork - Record of staff appraisal meeting.docx</a>	N/A
Appendix 2	Personal Development Needs: <a href="#">Appraisal paperwork - Personal Needs Development Template.docx</a>	N/A
Appendix 3	Record of Line Management Meeting: <a href="#">Appraisal Paperwork - Record of Line Management Meeting.docx</a>	N/A