



## LINDSEY LODGE HOSPICE

# PERFORMANCE APPRAISAL AND DEVELOPMENT REVIEW POLICY

## Summary

This policy sets out the principles and approach for appraisal and development planning in the Hospice and applies to all non-medical staff in the organisation. It covers the timing, documentation and monitoring of appraisals for staff on Agenda of Change pay bands. The policy also sets out the responsibilities of managers to monitor and review staff's performance, give feedback and support their development.

This policy should be read in conjunction with the Pay Progression Policy.

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## **1. POLICY STATEMENT**

- 1.1 Lindsey Lodge Hospice is committed to ensuring good performance management and continuous improvement through the on-going appraisal and development of its staff. Appraisal is a key performance management tool and an important mechanism for building engagement and helping to improve individual and team performance to support organisational objectives.
- 1.2 This Policy sets out the principles for appraisal and the process for conducting Performance Appraisal and Development Reviews.
- 1.3 The framework for appraising performance will be based around agreed key result areas or work objectives and behaviours linked to the Hospice's vision and values. These are:

### **Our Vision**

Lindsey Lodge Hospice provides specialist palliative care to patients with life-limiting conditions and supports their family and carers during illness and into the bereavement period.

We aim to further develop the highest quality of care in North Lincolnshire, meet individual needs and facilitate choice.

We aspire to be a responsive and innovative organisation and become a centre of excellence with our service users at the heart of all we do.

### **Our mission**

We will ensure income generated from the local area is focused on our priorities of providing a safe and welcoming environment along with offering physical, emotional, social and spiritual support to patients, their families and carers.

We will invest in our workforce, nurture creativity and support empowerment in order to generate ideas that will deliver high standards and good practices.

Partnerships and collaborations will be encouraged, forming trusting relationships in the interests of our patients and staff.

### **Our Values**

**'always there to Care'**

**C**aring, compassionate, facilitating choice

**A**cting with professionalism and respect

**R**esponsive to the needs of our patients, families and carers

**E**xcellence in all that we do

All individuals undertaking their Performance Appraisal will be assessed against these four fundamental values.

- 1.4 The annual Performance Appraisal and Development Review process is a fundamental part of good people management practice, in addition to regular informal discussions, providing constructive feedback on an individual's work performance and related development

throughout the year. It is important for managers to have direct communication with staff as frequently as possible; this will vary depending on the size and structure of the team.

- 1.5 The appraisal should be based on the principle of ‘no surprises’ and performance issues dealt with as and when they arise. The appraisal discussion will provide an opportunity to recognise and thank staff for their contribution during the year and provide constructive feedback to support on-going development.
- 1.6 The Hospice’s appraisal policy and procedures will be reviewed regularly to ensure that they continue to reflect emerging organisational and individual needs.
- 1.7 Lindsey Lodge Hospice believes in providing equity in its services, in treating people fairly with respect and dignity and in valuing diversity both as a provider of services and as an employer. These principles will be followed when applying this policy and procedure.
- 1.8 The appraisal process will provide the framework for incremental pay progression; demonstrating satisfactory performance at appraisal, will enable individuals to progress through agreed incremental pay points in accordance with the pay progression policy.

## **2. PRINCIPLES FOR THE PERFORMANCE APPRAISAL AND DEVELOPMENT REVIEW**

2.1 The Performance Appraisal and Development Review process is an integral part of the way the Hospice manages employee performance and development.

2.2 All staff will have a formal annual Performance Appraisal and Development Review against agreed performance expectations (key result areas or work objectives).

2.3 Performance Appraisal and Development Review is a two-way process. It provides an opportunity for all staff to:

- Receive feedback on their performance against performance expectations
- Reflect on their work performance and give feedback on experiences working in the Hospice and their work area
- Confirm the requirements of their job and agree work objectives for the coming year
- Discuss and agree development needs and how these might be met
- Discuss career development aspirations
- Review compliance against mandatory training requirements

2.4 The Performance Appraisal and Development Review provides a context for the individual role by referring to the department and Hospice objectives.

2.5 The Performance Appraisal and Development Review will be recorded on the appropriate documentation and will include an agreed record of achievements, brief descriptions of how performance meets Hospice values and behaviour requirements, future work objectives, on-going work responsibilities (.e.g. mandatory training) and agreed development.

2.6 The Performance Appraisal and Development Review will result in the production of a personal development plan (PDP) identifying any learning and development requirements and how they will be met.

2.7 The Performance Appraisal and Development Review will take place between staff and their manager or, where appropriate, another appropriately trained senior team member.

### **3. OBJECTIVES**

3.1 It is important that employees understand how they contribute to the Hospice's objectives. Managers should ensure that staff are aware of the Hospice's objectives and align team and individual objectives accordingly.

3.2 An outcome of the appraisal should be agreed work objectives which relate to the Hospice's strategic objectives. The headings below set out the key areas to which objectives should be linked: -

- Quality services
- Efficient delivery
- Effective team working

3.3 Work based objectives may be a mix of project work (stretch/challenging objectives) and everyday work (maintenance objectives).

### **4. DEVELOPMENT PLANNING**

4.1 As part of the Performance Appraisal and Development Review, the appraiser and appraisee will discuss progress against the personal development plan agreed at the last appraisal, and discuss and agree development needs for the coming year, including mandatory training requirements to be documented in the personal development plan.

4.2 Managers will identify any development needs and plan to support staff to develop the appropriate knowledge and skills; this will be documented in the personal development plan. Appropriate development may include - shadowing colleagues, attending meetings, undertaking projects, attending face to face training, e-learning and academic qualifications.

4.3 Where agreed development is not supported as planned during the year, managers should provide a reason explaining the rationale for this.

4.4 In order to inform organisational learning and development plans, appraisers should share the outcomes of the development plans discussed in Performance Appraisal and Development Reviews with their manager (if they are not the appraisee's manager), and the Clinical Trainer as appropriate.

4.5 The Clinical Trainer will develop training plans based on Hospice requirements and through discussions and feedback from managers. Specific training needs analysis will be undertaken as necessary.

### **5. APPRAISAL OUTCOMES**

5.1 As an outcome of the appraisal for all staff, a performance rating should be awarded based on a review of all aspects of performance using the following scale:

<b>Rating</b>	<b>Definition</b>
Exceeding expectations	Not only meets all objectives and ongoing work responsibilities, but consistently goes the extra mile and is a role model.
Meeting expectations consistently	Performance is good or excellent; consistently meets expectations in relation to objectives and ongoing work responsibilities.

Development	Performance is below expected levels in one or more key areas / majority of areas. Development identified.
Unacceptable performance	Performance is below expected levels in majority of areas. Under formal performance management measures.

5.2 To achieve a performance rating of '**exceeding expectations**' or '**meeting expectations consistently**' the minimum criteria detailed below should be demonstrated:-

- Participation in an annual Performance and Development Review (PADR) and a progress review in year
- Satisfactory conduct and capability, including attendance
- Appraisal and mandatory training requirements met and in date
- Performance, as measured through achievement of objectives and competencies, is judged to have met the required level
- Satisfactory demonstration of Performance against the Hospice's values

5.3 Those staff unable to demonstrate these criteria will be awarded either 'development' or 'unacceptable performance'.

## 6. PAY PROGRESSION (Agenda for Change pay bands)

6.1 For staff on Agenda for Change pay bands who have not reached the top of their pay band, incremental progression will be based on the performance rating awarded as an outcome of the appraisal. Employees must achieve a performance rating of '**exceeding expectations**' or '**meeting expectations consistently**' to be awarded their annual increment.

6.2 The Hospice's Pay Progression Policy set outs further details and should be applied in conjunction with this policy including an appeal process.

## 7. ROLES AND RESPONSIBILITIES

### 7.1 Managers are responsible for:

- Implementing this policy, ensuring that all staff are appraised on an annual basis.
- Ensuring that all appraisers are appropriately trained/briefed.
- Ensuring staff are aware of the knowledge and skills requirements of the role as part of the induction process and work based objectives are confirmed at the end of the induction period.
- Ensuring staff receive regular feedback including recognition for work done well and addressing concerns when they arise.
- Ensuring staff are made aware of mandatory training requirements.
- Ensuring staff are made aware of the relevant documentation to be used in advance of their appraisal (appendix B) and give sufficient notice of the appraisal meeting (approximately 2-3 weeks).

- Agreeing work objectives and a personal development plan annually as an outcome of the appraisal discussion.
- Recording individual Performance Appraisal and Development Reviews on the appropriate Hospice documentation (appendix A) and notifying HR of the date and the name of the appraiser.
- Ensure staff only progress through incremental pay points if they demonstrate that they have met the agreed performance requirements as set out in their PDAR and agreed objectives.
- Notifying HR of the outcome of appraisals in a timely manner to enable appropriate payroll notifications.

### **7.2 Staff are responsible for:-**

- Their own performance and ensuring that they understand expectations in relation to work objectives, behaviours, and on-going work responsibilities for their role.
- Actively participating in the performance and review process by preparing for the appraisal discussion, contributing to their personal development plan and actively applying newly acquired knowledge and skills within the role.
- Requesting an annual appraisal and development review from their line manager if one is due and has not already been instigated. If a date is still not set the employee should escalate to their senior manager.
- Participating in regular dialogue throughout the year with their line manager and updating on progress including problems or changes in circumstances.

### **7.3 The Clinical Trainer is responsible for:-**

- Delivering appropriate training and advice for both managers and staff in preparing for performance appraisal and development reviews.
- Monitoring and reporting completion of appraisals.

## **8. FURTHER SUPPORT / DEALING WITH DISAGREEMENTS**

8.1 If an employee has concerns about any part of the Performance Appraisal and Development Review process this should be discussed in the first instance between the individual and their appraiser. If there are still concerns these should then be raised with the appraiser's manager. The appraiser's manager, or another agreed individual, may be involved in the Performance Appraisal and Development Review if appropriate. If this is not satisfactorily resolved an appeal process should be followed as set out in the pay progression policy.

8.2 In the instance where disagreements arise and a subsequent appraisal review meeting is conducted, formal amendments to the appraisal record may be agreed based on relevant supporting evidence.

## **9. TIMING**

9.1 All staff will have a formal documented Performance Appraisal and Development Review on at least an annual basis.

9.2 Managers will determine the timing of annual Performance Appraisal and Development Reviews based on Hospice and departmental objective setting cycles, annual incremental dates. Appraisal review should be undertaken at least 6 - 8 weeks before an increment is due. Failure to undertake an appraisal in timely manner may result in pay progression being deferred until the agreed process is completed.

9.3 New starters or individuals that have moved into a new post should have an initial review in their first month of being in post as part of their induction focussing on learning needs which will then be reviewed again at the end of the first 6 months in their new role. This will include the setting of performance objectives.

## **10. DOCUMENTATION**

10.1 Annual Performance Appraisal and Development Reviews will be recorded using the Performance Appraisal and Development Review (PADR) Form.

10.2 Managers may adapt paperwork to meet local needs or confirm the appraisal discussion and outcome by writing a letter as long as the following areas are documented:

- Performance and progress on objectives for the previous year
- Agreed objectives for the coming year
- Feedback in relation to performance against the Hospice's values
- Mandatory training compliance
- Agreed development

10.3 The appraisee should be made aware of the relevant documentation to be used in advance of their appraisal (appendix A and appendix B).

10.4 The appraiser and appraisee should each keep a copy of the completed documentation. The appraiser may share documentation with their manager (if they are not the appraisee's manager), and/or Clinical Trainer. Confidentiality of the record must be maintained within the appropriate supervision and management structure.

## **11. MONITORING**

11.1 The number of Performance Appraisal and Development Reviews that have taken place will be reported on a quarterly basis to the Chief Executive and the Human Resources Committee.

## **12. REVIEW**

12.1 This policy will be reviewed on a 3 yearly basis.

## **13. LINKED DOCUMENTS**

- Pay Progression Policy and Procedure
- Training Policy
- Performance Review Procedure as detailed in staff handbook

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<b>Lead Author of Policy</b>	<b>Karen Griffiths</b>			
<b>Responsible Sub-group</b>	<b>HR</b>			
<b>RATIFICATION DATE BY TRUSTEES</b>				
<b>13/6/17</b>				
<b>Review interval</b>	<b>3 years</b>			
To Be reviewed	Review completed	By	Approved By	Circulation
June 2020				

## Appendix A Performance Appraisal and development Review



### APPENDIX A Lindsey Lodge Hospice - Performance Appraisal and Development Review

Use this form to record the comments discussed at an individual's performance appraisal meeting.

Employee's name:	
Job title:	
Department:	
Date of commencement:	
Line Manager:	
Date of meeting:	
Date of last appraisal:	
<b>Performance and progress on objectives for the previous year</b> <i>This section should be used to record discussion and a summary of achievement against the previous objectives that were agreed.</i>	
Objective 1:	
Objective 2:	
Objective 3:	
Objective 4:	

Objective 5:

**Summary of general overall performance against following areas:**

Knowledge of work/skill level:

Communication:

Team work:

Decision making:

Health and Safety/risk management:

For management roles only: leadership/managing change/Budgetary mgt:

An assessment of performance against Hospice values:

Caring/Compassionate:

Acts with Professionalism and Respect:

Responsiveness:

Excellence in all that we do:

**Development summary:**

*This section should be used to record any areas of the employee's work where further training and support is required, and any areas where performance is particularly strong and should be developed further.*

**Development and training: (Personal Development Plan).**

*This section should list specific requirements for any training or development. These activities are not restricted to training courses, and may include attachments, projects, coaching, planned experience or any other suitable activity that will enhance the skills, knowledge and behaviour required in the employee's work or to develop him/her further. This should include specific outcomes and timescales for completion where appropriate.*

**Key objectives for the following year (these can be a combination of maintenance/project/development).**

<b>Other areas of discussion</b> <i>This section should record any other points raised at the appraisal meeting.</i>	
<b>Assessment Level</b> This is based on performance over the year against objectives achieved and general performance	
<b>Exceeding expectations</b> <i>(Objectives exceeded and competencies more than fully demonstrated)</i>	
<b>Meeting expectations</b> <i>(Objectives met and competencies fully demonstrated in all/ the majority of key areas)</i>	
<b>Development needs</b> <i>(Performance is below expected levels in one or more key areas)</i>	
<b>Unsatisfactory performance</b> <i>(Performance unacceptable; objectives not met and competencies not demonstrated)</i>	
Employee's signature:  Comments:	
Appraiser's signature:  Comments:	
Date:	
Reviewing manager's signature:	
Date:	
One copy of this completed form will be kept by the appraiser, one by the appraisee and one in the employee's personnel file.	

## Appendix B Self Appraisal Form



### APPENDIX B - Lindsey Lodge Hospice - Self Appraisal form in Preparation for Performance Appraisal and Development Review meeting.

## Self-appraisal

Name:
Department:
Date of next appraisal:
Date of last appraisal:
Name of Appraiser:

### Purpose of the Appraisal Meeting

To enable you to discuss, with your manager, your job performance, progress in respect of key objectives and development needs. The discussion should aim at a clearer understanding of:

- (a) The main scope and purpose of your job
- (b) Agreements on your objectives and tasks
- (c) Standards or targets for measuring your performance
- (d) Your training and future development needs

You can prepare for the meeting and discussion by completing this form.

You may show this form to your manager. This will give him or her time to consider your problems and suggestions. If you do so, it will not be copied or filed without your permission.

If you prefer, you can use this form for your own guidance only, and not show it to anyone.

You will be given the opportunity to read the appraisal form completed by your manager; you will be able to add your comments, and sign the completed appraisal form.

## **Self-appraisal**

Name:

1. tick appropriate answers, and comment below

	<b>Yes</b>	<b>No</b>
Do you have an up to date job description		
Do you have objectives from your last annual appraisal?		
Do you understand all the requirements of your job?		
Do you have regular opportunities to discuss your work and action plans?		
Have you carried out any particular training/tasks/agreed with your manager, which were made at the last appropriate meeting?		

2. What have you accomplished in the period under review (consider the early part of the period as well as more recent events, reflect on your objectives set and understand if these have been met)?

3. List any difficulties you have in carrying out your work. Were there any obstacles outside your own control which prevented you from performing effectively?

4. What parts of your job, do you:

(a) do best?

(b) do less well?

(c) have difficulty with?

5. Can you suggest training which would help to improve your current performance?

6. Are you up to date with your mandatory training? Identify any areas where non-compliance.

7. Self-Assessment against Hospice values

Please provide a general self-assessment against the following:

- Caring/compassionate, facilitating choice:
  
- Acting with Professionalism and respect:
  
- Responsive to the needs of patients, families, carers:

- Excellence in everything you do:

8. Additional remarks, notes, questions, or suggestions