

# Appraisal Policy and Procedure

## **Ratification Process**

Lead Author:	Head of OD & HR Manager, C&P CCG
Developed by:	Head of OD & HR Manager, C&P CCG
Approved on and by:	17/11/2015 Joint Consultation and Negotiating Partnership (JCNP)
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**Cambridgeshire & Peterborough CCG  
Appraisal Policy and Procedure**

**Document Control Sheet**

<b>Development and Consultation:</b>	This policy was developed by the CCG HR team and consulted upon with senior managers and staff representatives. This policy has been approved through the Joint Consultation and Negotiating Partnership (JCNP).
<b>Dissemination</b>	All new and updated policies and procedures are notified to senior managers via email for dissemination to their staff. Notification is also sent to all staff via the bi-weekly staff newsletters.
<b>Implementation</b>	All staff and managers. Line managers have an additional duty to authorise in accordance with the policy.
<b>Training</b>	The CCG HR team will organise to inform managers of this policy.
<b>Audit</b>	The CCG HR Team will hold a database of all policies and a reminder will be sent when a policy is due for renewal.
<b>Review</b>	This policy will be reviewed by the CCG HR Team and JCNP every two years, unless an earlier review is required e.g. due to changes in legislation or in NHS direction.
<b>Links with other documents</b>	This policy should be read in conjunction with:  CCG Capability at Work & Unsatisfactory Performance Policy and Procedure CCG Learning & Development Policy and Procedure CCG Management Supervision Policy & Procedure CCG Probationary Periods Policy & Procedure

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**Revisions**

<b>Version</b>	<b>Page/ Paragraph no.</b>	<b>Description of change</b>	<b>Date approved</b>
2	Page 7, section 7.2	On the advice of Internal Audit the section on escalation for non-compliance has been strengthened to read "In the event that a manager fails either to complete or to submit all the completed appraisals for his or her team or Directorate then the manager will automatically receive a poor appraisal rating for that year".	17/11/2015
2	Page 6, section 5.8	In order to empower staff to request an appraisal the policy now offers staff the right to request an appraisal and in the event that an appraisal does not take place gives staff the right to escalate this to the reviewing officer.	17/11/2015
2	Page 7, section 7.3	Appraisal non-compliance will be formally escalated to both the Clinical Management Executive Team and the Remuneration and Terms of Service Committee on a quarterly basis	17/11/2015

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## **Cambridgeshire & Peterborough CCG Appraisal Policy and Procedure**

### **1. Scope**

It is the policy of Cambridgeshire and Peterborough Clinical Commissioning Group (CCG) that a performance appraisal scheme covering all employees, to include associates who have a contract for services and deemed to be delivering critical CCG business, is compulsory throughout the organisation.

### **2. Introduction**

2.1. Performance management, annual and six monthly appraisals and ongoing work reviews are essential to ensure we all achieve high performance. The processes are required to support everyone in understanding and achieving organisational, team and individual outcomes, including ongoing personal development, in line with the ways of working and to include behaviours which are expected in the CCG. The purpose is to allow everyone to see how they play their part in the core role of the CCG and the delivery of key commissioning priorities.

2.2. It is important that employees have a 'clear line of sight' linking what they do with the goals or desired outcomes of the CCG. This will improve the motivation and engagement of staff and create a sense of feeling valued.

2.3. It is important that **all** employees make a commitment to making the appraisal process a success and to making sure it is a two-way process that in partnership benefits both managers and the people they manage.

### **3. Training**

Appraising managers must attend the Annual Performance Management Briefing sessions.

### **4. Setting Objectives**

4.1. Annual corporate appraisal objectives will be set and should appear as a single thread in all CCG employees' appraisals. Individual objectives must be SMART and most importantly within the individuals sphere of accountability and influence.

4.2. A maximum of 8 objectives, to include the corporate objectives, should be set each year.

### **5. Timescales for completion**

5.1. The CCG performance appraisal scheme is to be completed and returned to the OD & HR Team between March 31<sup>st</sup> and May 31<sup>st</sup>, with a review after six months.

### **6. For staff on salary scales bands 8c, 8d and 9**

6.1. Pay progression beyond the first 4 pay points in pay bands 8C, 8D and 9 will be dependent upon the achievement of the agreed objectives through the appraisal

procedure and a performance review which assesses them as having met the required level of performance. Staff awarded one of these increments before April 2013 are exempt.

6.2. An increment may only be withheld where poor performance has triggered the Capability at Work and Poor Performance Policy and Procedure set against the individual's appraisal objectives. Appraisal forms returned for these individuals must refer to this explicitly in the wording. It is particularly important that the appraisal is completed by 30 April to prevent a payment being made if an increment should not be awarded.

6.3. Pay progression for this level of performance will be non-recurring and reviewed formally on an annual basis. Where an individual holds an annually earned pay point and has not met the required level of performance and delivery for the year they will have one annually earned pay point withdrawn.

## **7. For all staff**

7.1. First appraisals should normally happen at the three month probation review post appointment. This gives an opportunity for objectives set during the probationary period to be reviewed and measures put in place to carry the person through the second part of the probation period and on to successful employment or an arrangement to terminate.

7.2. Staff who are on secondment are the responsibility of their current line manager. Agency staff must also have an appraisal if their assignment is longer than 6 months.

7.3. In order to empower staff to request an appraisal the policy now offers staff the right to request an appraisal and in the event that an appraisal does not take place gives staff the right to escalate this to the reviewing officer.

## **8. Completing the paperwork**

8.1. The performance appraisal scheme has a standard template and a set of guidance to be followed.

8.2. All documents, forms and guidance relating to the performance appraisal scheme can be found on the HR pages of the CCG extranet.

8.3. The performance appraisal scheme will provide a written record of the overall performance of the person being appraised. This appraisal includes a record of achievements and the overall performance of an individual appraisee against the targets and objectives set and an overall rating as to the quality of the work produced in relation to the following corporate performance appraisal ratings: *Poor; Satisfactory; Good; or Excellent*. Descriptions of these ratings can be found in the Performance Appraisal Guidance.

- 8.4. A performance appraisal form must not be signed off by the authorising manager unless the performance rating part of the appraisal form is completed.
- 8.5. Exceptions to this are where the employee has not been present at work for a significant period of the appraisal review period and it is not possible to rate their performance overall.
- 8.6. Performance appraisal data will be collated to provide an overall picture of performance levels across and between teams, services and for the CCG as a whole. It can also be used to inform other employment processes. This may include using data on an individual basis where evidence of performance is required to inform the effective, fair and consistent application of other employment policies and procedures e.g. probation; secondment; acting up or internal promotion.
- 8.7. The performance appraisal form completion is the responsibility of the individual appraisee so each member of staff only writes up in detail one appraisal form (their own) but the manager remains accountable for the form to be completed and submitted to the OD & HR team. The purpose is to allow accurate reflection on the CCGs annual people performance and inform the Learning and Development and OD Plans.
- 8.8. Completed performance appraisals that fall within the annual appraisal cycle should be returned by no later than May 31<sup>st</sup>; all others should be returned as they become available with a “falling into line” with the annual appraisal cycle as soon as is practicable.
- 8.9. All performance appraisals should be conducted in accordance with the CCG equal opportunities policies and procedures.
- 8.10. The written appraisal record, including the reporting of individual scores and historical records will be processed in accordance with Data Protection principles and on completion, will form part of the employment record. Processing of appraisal information and viewing data may be carried out by the line manager, both current and previous, managers’ business support and OD & HR staff.
- 8.11. The use of the CCG competencies and the Knowledge and Skills Framework is fully integrated into the CCG performance appraisal scheme.

## **9. Sanctions**

- 9.1. Non-compliance with this policy without the mitigation of exceptional circumstances will be seen in itself to constitute poor performance.
- 9.2. In the event that a manager fails either to complete or to submit all the completed appraisals for his or her team or directorate, the manager will automatically receive a poor appraisal rating for that year.
- 9.3. Appraisal non-compliance will be formally escalated to both the Clinical Management Executive Team and the Remuneration and Terms of Service

Committee on a quarterly basis.

## **10. Appeals Process**

- 10.1. In the event there is disagreement between the appraiser's rating of the individual's performance and the appraisee's rating of performance, this will be escalated to the reviewing manager. If the individual remains dissatisfied with the outcome, the matter should be escalated to the Director of the department or a member of the Governing Body, whichever is appropriate.