

Appraisal and Performance Review.

Guidance for Staff and Managers

April 2018

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Introduction

The West Essex Clinical Commissioning Group (WECCG) appraisal and performance review provides the opportunity for you to:

- Have a say in how your work and performance on your job is going;
- Discuss your achievements and to raise issues of concern;
- Discuss things that matter to you;
- Clarify your objectives for the coming year and what is expected of you;
- Help you and your manager to work together to recognise the strengths of your performance and areas for development.

It is also an appropriate time to discuss your personal development plan (PDP) based on your career aspirations and the support you require from your line manager or the organisation in order to achieve them.

This guide explains how the process will work and what you can do to get the most out of the appraisal process.

1.1 The Appraisal and Performance Review Process

Performance review is a continuous process which must include regular one-to-one sessions and appraisals between the line manager (appraiser) and staff (appraisee).

- Annual appraisals should take place between **April and June** followed by an appraisal review within six months in **November** each year.
- All completed annual appraisal forms must be signed by both parties and the relevant sections of the form submitted to the Organisational Development and Learning (ODL) Team by 30th **June at the very latest.**
- The appraisal review must be completed after six months, usually between **November and by mid-December** at the latest and the ODL Team notified about the completion date.
- It is expected that regular one-to-one meetings are held at least every four weeks as part of the performance management process to help ensure that staff are well supported.

The appraisal process is only applicable to employees of the CCG. The clinical chair has an agreed process with clinicians to do regular progress review meetings with their supervisors/managers to agree their objectives and targets as appropriate using a separate review form.

2. PART 1 - REFLECTION AND REVIEW OF THE PAST YEAR

The appraisal and performance review is a two-way process and both parties must contribute and share their views to make it successful. Prior preparation is critical and supporting evidence for your views and comments must be provided to help facilitate the process.

2.1 The Appraisee's Preparation and Self-Assessment

One way of ensuring you contribute to the review process is through self-assessment. Showing a written self-assessment to your manager is voluntary; there is no need to show it to anyone. If you have worked regularly for other managers during the year, or worked on particular projects ask the

manager to give you an assessment or ask your line manager to talk to them, explaining the extent of the work carried out.

When preparing for self-assessment, ensure that you summarise your achievements, what you have learnt, and what has helped you to develop and what has hindered progress including any factors that may have affected your performance.

Consider your future plans including career aspirations and personal objectives for achieving your goal.

2.2 Preparation questions for considerations

- What did you achieve during the year and how did this add value the CCG?
- What evidence do you have?
- How have you measured your achievements?
- What did you learn from your achievements?
- How have you supported/embedded the CCG's values in your practice?
- Were there any particular problems you encountered?
- How did you handle them?
- How can they be avoided in the future?
- What is your workload like?
- Have you got the skills and knowledge to do what is expected of you?
- Do you have enough resources to do the job properly?
- What do you want for the future? Think about the work you would like to do, your objectives for the next year and how you want to develop.

Preparing answers in advance to these questions will help to facilitate the discussions with your line manager regarding your performance to date, what is expected of you in the coming year and the skills you are likely to need.

2.3 The Performance Review Discussion

Although there is no set minimum or maximum duration of the appraisal meeting, it is recommended that provision is made for at least one hour. The time allocated must be sufficient to cover all the issues that matter to both the appraisee and the appraiser.

Managers should regard performance review as a continuous process throughout the year with regular reviews and feedback to staff on their performance. The appraisal discussion must include:

- Reviewing the previous year's performance and achievements against the agreed objectives
- Setting and agreeing new objectives that are linked to the CCG's overall strategic objectives and values
- Reviewing personal learning and development goals.

2.4 Guidance for Managers

It is essential to prepare in advance of the appraisal. Encourage the employee to obtain feedback from other people for whom they have done some work in the past year. If you have not yet done so, you should also obtain feedback from these people regarding the work done by the appraisee.

2.5 Before the discussion you should prepare:

- Draft objectives for the forthcoming year
- An outline of what you want to discuss.
- Additional feedback on how the appraisee has performed over the last year, with examples.

2.6 Key areas to cover during your discussion

- Has the job holder achieved their objectives from the previous year?
- What other successes has the jobholder achieved and how do these add value to the CCG?
- What did they do well and how could they improve on what they have done in the future?
- What is the job holder's workload like?
- How does the job holder's behaviour support the CCG's values?
- Has the job holder got the relevant skills and knowledge to do what you expect from them?
- Are you giving them enough freedom to use their initiative or enough support?
- Do they have enough resources to do the job properly?
- Do you thank the jobholder for their contributions and give regular feedback?
- Ensure you ascertain your appraisee's mandatory training compliance status

This conversation should not be one sided in order to ensure a meaningful and productive coaching conversation. It is better to allow the job holder to do most of the talking. Try and draw them out by encouraging them to talk about the problems they encountered and how they tackled them. You should be ready to ask questions and give practical advice on how they can improve their performance.

The job holder may also wish to use the discussion to raise any personal problems affecting their performance or they may wish to discuss potential career changes whether inside or outside of the organisation and whether this could be on a secondment basis.

If you have kept up good, regular dialogue with the appraisee all year then there should be no surprises in the appraisal meeting. The discussion and rating of past performance should be straightforward and you can focus on planning for the year ahead. The appraisal meeting is not a substitute for good management.

3. INCREMENTAL PAY PROGRESSION COMPETENCIES

Please refer to the guidance below which gives an indication of what might be expected against each competency within each banding.

This section should be discussed during the appraisal. In line with the CCG's best practice and incremental pay progression framework, the competency assessment must be completed for all employees (including those staff at the top of band) to determine whether a member of staff is able to progress onto their next increment.

The extent to which an individual has responsibility on each competency will differ according to job role and/banding.

This is to ensure that Agenda for Change Terms and Conditions of Employment are applied fairly and consistently in accordance with the CCG's commitment to equality and diversity. This is the opportunity for staff to demonstrate the required levels of performance during the performance review and to confirm that they are performing at the right standard for incremental pay progression.

Provided the appropriate level of performance and delivery has been achieved during the review period, individuals will progress from pay point to pay point on an annual basis. For pay bands 1 to 8B, this will apply to all the pay points in each pay band. For pay bands 8C, 8D and 9 this will apply for the first 4 pay points in the band.

Ordinarily, pay progression will not be deferred on performance grounds unless there has been a prior documented discussion between the individual and the person undertaking the review, regarding failure to meet the required level of performance and the employee has been given a reasonable opportunity to demonstrate the required improvement before the decision on pay progression is taken. This prior discussion will identify areas for improvement and any reasonable developmental support the individual may require to operate at the required level of performance¹.

For Pay Bands 8c, 8d and 9 only – pay progression beyond the first four pay points in these bands will be dependent upon the achievement of locally determined levels of performance. Pay progression to the last two incremental points will have to be earned annually, and only retained where the agreed level of performance is attained.

Below are the core competencies that are to be used for incremental pay progression. When reviewing whether the competencies are being demonstrated please link these back to the behaviours and objectives that have been set.

You should not need to discuss each dimension every year but focus on the most important where development is required. Keep a record of examples of application of required competency throughout the year and refer to them during the review discussion. Regular discussion should mean there is no need to provide written evidence against all competencies. Briefly describe how well the competency has been achieved giving actual examples and actions where possible; if a competency has not been achieved state why as well as indicating an action plan for retrieval.

¹ NHS Terms and Conditions of Service Handbook (Agenda for Change)

For any individual assessed as 'underperforming' against competencies, there may be a recommendation not to progress onto the next incremental pay point at their next incremental date.

Where a decision to defer pay is reached, HR **MUST** be informed and all appropriate paperwork completed. Action plan/s should be developed indicating time scales for review.

CORE COMPETENCY: COMMISSIONING

This dimension relates to effective partnerships with other CCGs to co-commission services where this will improve quality and drive efficiencies as well as lead to measurable improvements in the quality of primary care. In demonstrating these competencies staff will be expected to show a clear understanding of their responsibilities in collaborative commissioning. Strong collaborative ties to health and wellbeing boards, with the CCG being a recognised system leader.

Staff are required to support the CCG processes, policies, strategies which support opportunities for greater integration, joint commissioning, integrated provision and pooling of health and local government resources to meet the challenges of the financial climate and changing demands of the local population.

Level 1 – Bands 2 and 3	Level 2 – Bands 4 and 5	Level 3 – Bands 6 to 8c	Level 4 – Bands 8d and above
<p>Listens and responds effectively to commissioning queries and resolves commissioning queries within own area of competency. For example:</p>	<p>Demonstrates commissioning focus in all that they do and encourages others to do the same. For example:</p>	<p>Actively promotes commissioning focused approach in their role, reviews and improves upon how they respond to providers. For example:</p>	<p>Works in partnership with others to develop, take forward and evaluate direction, policies and strategies. For example:</p>
<p>Works within the limits of own competence and area of responsibility in relation to listening and responding effectively to commissioning questions.</p> <p>Works closely with own team to resolve commissioning issues within own ability and refers any issues beyond these limits to the relevant people.</p> <p>Demonstrates an element of good commissioning practice in all telephone and face to face liaisons with providers as part of role.</p> <p>Reports any difficulties in providing commissioning responses to line manager.</p>	<p>Demonstrates CCG values and professional behaviours and approach to commissioning and encourages others to do the same.</p> <p>Works within the limits of own competence and area of responsibility and accountability. Gets help and advice where needed in responding to commissioning queries.</p> <p>Works to support the overall team in relation to providing a comprehensive commissioning service.</p>	<p>Promotes a commissioning focused approach and makes others aware of the impact of poor commissioning.</p> <p>Understands own role, its scope and how this may change and develop over time in developing a good commissioning.</p> <p>Reviews effectiveness of own team in respect of good commissioning focussed approach, helps and enables others to promote and improve upon this.</p> <p>Takes appropriate action when there is a persistent problem with delivering commissioning.</p> <p>Identifies and addresses any impact of poor commissioning on the service function and CCG as a whole.</p>	<p>Initiates, implements, supports and monitors good commissioning delivery within service area and CCG as a whole.</p> <p>Alerts others to the need to improve commissioning delivery as needed.</p> <p>Is an effective member of the CCG who works with others to develop and maintain effective commissioning delivery.</p> <p>Role models commissioning delivery.</p> <p>Actively promotes good commissioning delivery in all areas of work.</p> <p>Responsible for continually monitoring standard of commissioning delivery and takes effective action to address any issues.</p>

CORE COMPETENCY: QUALITY OF WORK

This dimension relates to maintaining a high quality in all areas of work and practice. Quality can be supported using a range of different approaches including codes of conduct and practice, evidence based practice, guidelines, legislation, protocols procedures and policies, standards and systems.

Staff are required to maintain high standards ensuring that their work for both their internal and external customers is delivered effectively, accurately and professionally. Quality is a key aspect of all jobs as every member of staff is responsible for the quality of their own work.

	<p>Level 1 – Bands 2 and 3 Maintains the quality of own work. For example:</p>	<p>Level 2 – Bands 4 and 5 Maintains the quality in own work and encourage others to do so. For example:</p>	<p>Level 3 – Bands 6 to 8c Contributes to improving quality. For example:</p>	<p>Level 4 – Bands 8d and above Develops a culture that improves quality. For example:</p>
	<p>Works as required by the CCG and by professional policies and procedures.</p> <p>Works within the limits of own competence and area of responsibility and refers any issues that arise beyond these limits to the relevant people.</p> <p>Works closely with own team and asks for help if necessary.</p> <p>Uses CCG resources efficiently and effectively thinking of cost and environmental issues.</p> <p>Reports any problems, issues or errors made with work immediately to line manager and helps to solve or rectify the situation.</p>	<p>Follows CCG and professional policies and procedures and other quality approaches as required and encourages others to do the same.</p> <p>Maintains professional registration if required.</p> <p>Works within the limits of own competence and area of responsibility and accountability seeking help and advice where needed.</p> <p>Works to support the team and can be relied on when people ask for help or support.</p> <p>Prioritises own workload and manages own time to ensure priorities are met and quality is not compromised.</p> <p>Uses CCG resources effectively and encourages others to do the same.</p> <p>Monitors the quality of work in own area and alerts others to quality issues, reporting any errors or issues to the appropriate person.</p>	<p>Promotes quality approaches making others aware of the impact of quality.</p> <p>Understands own role, its scope and how this may change and develop over time in developing a high quality organisation.</p> <p>Reviews effectiveness of own team and helps and enables others to work as a team.</p> <p>Prioritises own workload and manages own time in a manner that maintains and promotes high quality.</p> <p>Evaluates the quality of own and others' work in own area and raises quality issues and related risks with the appropriate people.</p> <p>Supports changes in own area that improves the quality of systems and processes.</p> <p>Takes appropriate action when there is a persistent problem with quality.</p>	<p>Initiates, implements, supports and monitors quality and governance systems and processes.</p> <p>Alerts others to the need to improve quality.</p> <p>Ensures others maintain professional registration where required.</p> <p>Is an effective member of the CCG who works with others to develop and maintain high quality services.</p> <p>Role models quality delivery.</p> <p>Enables others to understand, identify and deal with risks to quality.</p> <p>Actively promotes quality in all areas of work.</p> <p>Responsible for continually monitoring quality and takes effective action to address quality issues.</p>

CORE COMPETENCY: COMMUNICATION

Communication underpins everything the CCG does. This dimension relates to staff having the ability to write and speak effectively, using conventions appropriate to the situation; having the ability to state own opinions clearly and concisely; demonstrating openness and honesty; listening well during meetings and feedback sessions; explaining the reasoning behind own opinions; asking others for their opinions and feedback; asking questions to ensure understanding; exercising a professional approach with others using all appropriate tools of communication; using consideration and tact when offering opinions.

	<p>Level 1 – Bands 2 and 3</p> <p>Communicate with a limited range of people on day-to-day matters. For example:</p>	<p>Level 2 – Bands 4 and 5</p> <p>Communicate with a range of people on a range of matters. For example:</p>	<p>Level 3 – Bands 6 to 8c</p> <p>Develop and maintain communication with people about difficult matters and/or in difficult situations. For example:</p>	<p>Level 4 – Bands 8d and above</p> <p>Develop and maintain communication with people on complex matters, issues and ideas and/or in complex situations. For example:</p>
	<p>Speak with confidence and be able to prepare basic written documentation in line with role requirements.</p> <p>Adapt communication style to different people and different situations.</p> <p>Listen effectively and respond accordingly to others in a respectful and timely way.</p> <p>Communicate effectively within own team and peers.</p>	<p>Speak with confidence with other peers and colleagues across other areas of the CCG.</p> <p>Confidently prepare written documentation for wider committees or meetings.</p> <p>Be able if necessary to present at wider CCG meetings.</p> <p>Constructively listen and respond.</p>	<p>Prepare more complex papers and reports as required by the role.</p> <p>Present papers with confidence at both internal and external meetings as required by the role.</p> <p>Recognise inappropriate communication within own team or colleagues and be able to address such issues.</p> <p>Support and instil good communication in others.</p> <p>Communicate with colleagues and customers in difficult situations.</p>	<p>Liaise at all levels of the organisation and with external customers and Senior Board members confidently and fluently.</p> <p>Handle difficult and complex situations efficiently and diplomatically.</p> <p>Support others in demonstrating good communication skills.</p>

CORE COMPETENCY: TEAMWORK

This dimension relates to the ability to work with other team members across the CCG co-operatively and flexibly. Staff with excellent team working skills fully understand their role as a team member and how they can support and work with others to achieve shared objectives.

Staff are required to respond positively to instructions and procedures, act in a respectful and courteous manner displaying professionalism when dealing with colleagues.

	<p>Level 1 – Bands 2 and 3 Acts responsibly as a team member and seeks help if necessary. For example:</p>	<p>Level 2 – Bands 4 and 5 Works as an effective and responsible team member and enables others to do so. For example:</p>	<p>Level 3 – Bands 6 to 8c Builds high performing teams within own area, aligned around common goals. For example:</p>	<p>Level 4 – Bands 8d and above Ensures team is appropriately skilled, managed and resourced. For example:</p>
	<p>Works effectively as part of a team. Gets to know team members across the CCG.</p> <p>Provides cover for other team members. Considers others needs in the interest of the team and the service.</p> <p>Acts in a supportive manner to the team. Reacts constructively to others' suggestions and requests.</p> <p>Asks for help when necessary. Is aware of the impact of own behaviour on others.</p> <p>Respects other team members.</p> <p>Communicates effectively with team members</p>	<p>Recognises potential value of others' opinions and actively seeks their contributions.</p> <p>Works well with colleagues outside the team and across the CCG.</p> <p>Actively seeks to help others.</p> <p>Looks beyond boundaries of own job to support others, sharing knowledge and contributing to a positive team spirit.</p> <p>Recognises when team members require support and offers support as appropriate.</p>	<p>Utilises the knowledge and skills of the team through effective work allocation and delegation.</p> <p>Seeks ideas and input of colleagues in own and other teams to make best use of team expertise and improve team performance.</p> <p>Uses appropriate tools to help team members understand their own skills.</p> <p>Holds regular team meetings and organises team building activities.</p> <p>Ensures visibility across the CCG.</p> <p>Motivates team members towards achievement of objectives.</p> <p>Recognises potential value of others' opinions and actively seeks their contributions.</p> <p>Works well with colleagues outside the team.</p>	<p>Ensures team is appropriately skilled, managed and resourced.</p> <p>Communicates expectations for teamwork and collaboration.</p> <p>Leads by example. Discusses problems/issues with team members that could impact on results.</p> <p>Gives credit and acknowledges contributions and efforts of individuals to team effectiveness.</p>

CORE COMPETENCY: SERVICE IMPROVEMENT

This dimension relates to having the ability to demonstrate continuous learning and new ways of working. Staff who are able to continually review work practices and contribute ideas with colleagues, peers and managers, will be contributing to the ongoing success of the business and ensuring that it continues to be competitive within a changing market.

	<p>Level 1 – Bands 2 and 3</p> <p>Open to continually learning and new ways of working. For example:</p>	<p>Level 2 – Bands 4 and 5</p> <p>Reviews working practices and comes up with ideas to improve the way things are done. For example:</p>	<p>Level 3 – Bands 6 to 8c</p> <p>Finds ways to improve systems and structures to deliver with more streamlined resources. For example:</p>	<p>Level 4 – Bands 8d and above</p> <p>Creates a culture where new ideas and improvements are encouraged and evaluated. For example:</p>
	<p>Looks for better ways of doing things and suggests improvements.</p> <p>Shares ideas with colleagues and seeks support from managers in developing those ideas.</p> <p>Learns from mistakes.</p> <p>Actively involved in team meetings and away days.</p>	<p>Conducts regular reviews of what works well and what could be done better.</p> <p>Considers and suggests ideas for improvements, sharing this feedback with others in a constructive manner.</p> <p>Invites feedback from customers and uses feedback to improve services.</p> <p>Sets standards for quality and ensures best practice.</p>	<p>Regularly reviews procedures or systems with teams to identify improvements and simplify processes and decision making.</p> <p>Helps colleagues and customers to understand changes and why they have been introduced.</p> <p>Prepared to take managed risks to improve services, ensuring these are planned and their impact assessed.</p>	<p>Leads the implementation of change with a positive approach.</p> <p>Willing to meet the challenges of difficult or complex changes, encouraging and supporting others to do the same.</p> <p>Actively encourages ideas from a wide range of sources and stakeholders and use these to inform own thinking.</p>

CORE COMPETENCY: MANAGEMENT AND LEADERSHIP

This dimension relates to having the ability to inspire individuals to give their best to achieve organisational objectives. Managers with excellent leadership skills build effective relationships; develop, mentor and support their staff. In demonstrating these competencies, managers will be expected to show a supportive approach when dealing with staff issues and problems, dealing with poor performance and capability and where necessary having difficult conversations with staff. They will be able to promote a trusting and empathetic environment and equality of opportunity and be able to lead teams by emanating the CCG vision and providing long term inspiration to others by being a role model within the organisation.

	<p>Level 1 – Bands 2 and 3</p> <p>Shows pride in the CCG name and the services that it offers, showing commitment to the CCG vision and values.</p> <p>For example:</p>	<p>Level 2 – Bands 4 and 5</p> <p>Ability to organise own and others activities.</p> <p>For example:</p>	<p>Level 3 – Bands 6 to 8c</p> <p>Leads and motivates others to continually improve performance.</p> <p>For example:</p>	<p>Level 4 – Bands 8d and above</p> <p>Leads teams by emanating the CCG vision and providing long term inspiration to others by being a role model within the organisation.</p> <p>For example:</p>
	<p>Takes responsibility for meeting objectives.</p> <p>Takes ownership of personal development plan.</p> <p>Asks for help where required.</p>	<p>Is aware of own leadership style.</p> <p>Leads by example with a positive approach.</p> <p>Allocates work fairly.</p> <p>Conducts staff appraisals where appropriate.</p> <p>Agrees SMART objectives for team and monitors effectively.</p>	<p>Provides professional management of a team.</p> <p>Inspires others to achieve common goals with excitement, enthusiasm and commitment.</p> <p>Delivers difficult messages when required to do so.</p> <p>Deals effectively with poor performance.</p>	<p>Sets high standards and keeps self and others focused on outcomes.</p> <p>Takes direct responsibility and is accountable for actions.</p> <p>Challenges unacceptable behaviour / attitudes.</p> <p>Challenges poor performance appropriately.</p> <p>Recognising and celebrates achievements of staff.</p>

4. PART 2 - LOOKING FORWARD

The performance review discussion is an ideal opportunity for the appraiser to encourage the job holder to talk about their aspirations. It is your role as line manager to help your staff develop knowledge, skills and expertise that can improve their performance in the current job. You should give honest and open feedback on the job holder's potential to reach their aspirations based on your assessment of their potential to date. With the job holder you should discuss how additional training and development might provide new skills and improve overall performance.

The line manager is responsible for completing the appraisal paperwork and submitting it to the ODL team.

4.1 Looking Ahead

In the appraisal discussion you should agree for the year ahead:

- New work related objectives and standards of performance.
- A review of the appraisee's personal development goals.
- A personal development plan focused on the skills needed to achieve them.

4.2 Agreeing Work Objectives

Everyone has a contribution to make towards supporting the CCG's values. Identify work objectives and link them to the organisation's values and team objectives. You should agree a limited number of important objectives, ideally a minimum of 3 and maximum of 8.

The objectives set/agreed should be representative of the job role of the appraisee and should cover the most important as well as routine aspects – including any specific tasks or projects. Each objective should have challenging but realistic targets.

Personal development objectives should support work objectives, the CCG's values, the job role and the individual's continuing professional development. Development objectives can also help to prepare an individual to take on new tasks or areas of responsibility in the future.

These objectives should be representative of the job and include the relevant areas of development as identified. They must be challenging but realistic targets for the job holder to achieve.

4.3 Objectives should spell out:

- What the job holder should achieve.
- How the objectives should be achieved and to what standard.
- When the actions should be completed.

4.4 Setting SMART Objectives:

An objective is a statement which describes what the appraisee is expected to achieve. An effective way of setting successful objectives is through the popular acronym SMART, i.e. specific, measurable, achievable, realistic and timely.

A smart objective must include all the five components in order to ensure successful delivery. If the one element is missing or incomplete then the chances are that the objective is not SMART and may not be fully achieved.

The table below illustrates the five components that make up the SMART Objectives acronym and what they mean in relation to setting objectives.

Component	Description
Specific (simple, sensible, significant)	The objective must be a focused, clear and precise definition of what is required, ideally describing how this is linked to our organisational needs. It should concentrate on improvement rather than maintenance. Active words which can help with describing deliverables include: deliver, produce, present, achieve, prepare, increase, lead. Some questions to consider <ul style="list-style-type: none"> <input type="checkbox"/> What do I want to accomplish? <input type="checkbox"/> Why is this goal important? <input type="checkbox"/> Who is involved? <input type="checkbox"/> Which resources or limits are involved?
Measurable (meaningful, motivating)	The objective must contain a measure so you can check whether and how well it has been achieved. It does not have to be in terms of numbers – success can be quantified as a variety of different standards of performance, including numbers e.g. productivity targets, costs. It could also be a rate of increase or improvement, a percentage or a frequency. Some questions to consider: <ul style="list-style-type: none"> <input type="checkbox"/> How much <input type="checkbox"/> How many? <input type="checkbox"/> How will I know when it is accomplished?
Achievable (attainable, agreed)	The objective must be realistic and attainable to be successful. An objective is achievable if, with a reasonable amount of effort and application it can be achieved. This is an important point which requires both parties to examine the resources available including what constitutes a realistic amount of effort and application in order to ensure the objective is mutually agreed as achievable. Some questions to consider: <ul style="list-style-type: none"> <input type="checkbox"/> How can the goal be accomplished? <input type="checkbox"/> How realistic is it given other constraints including financial?

Component	Description
Realistic (relevant, reasonable and resourced, results-based)	To improve performance, objectives need to be challenging – to retain interest and motivate people to work at an optimal level. They must be realistic and relevant and not completely out of the reach of the appraisee. It has to be something that they can influence or have an impact on. Some questions to consider: <ul style="list-style-type: none"> <input type="checkbox"/> Does this objective seem worthwhile? <input type="checkbox"/> Is this the right time for it? <input type="checkbox"/> Does it match our efforts and needs across the CCG? <input type="checkbox"/> Am I the right person for this objective? <input type="checkbox"/> Is this objective applicable in the current environment?
Time-bound (Timely, time-based, time limited, time/cost, limited, time sensitive)	Every goal needs a target date in order to ensure there is a deadline to focus on and work towards. To enable improvements and change to be monitored an effective objective needs to have time frames. The more you can measure ongoing progress the easier it is to ensure you are moving in the right direction and also to make changes in good time. Split long term objectives into more meaningful ‘bite-sized’ pieces both to aid regular measurement and also to keep motivation high. Some questions to consider: <ul style="list-style-type: none"> <input type="checkbox"/> When? <input type="checkbox"/> What can be done six months from now? <input type="checkbox"/> What can be done six weeks from now? <input type="checkbox"/> What can be done today?

4.5 Personal Development Plan (PDP)

Managers should explore with the job holder how existing skills and knowledge can be enhanced as well as developing new ones. Think about the skills that need building to support QIPP and the NHS Leadership Framework.

<http://www.nhsleadership.org.uk/framework.asp>

4.6 Personal Development Plan

Having agreed the new objectives managers should think about whether the job holder will need to:

- Further develop current skills and knowledge
- Develop new skills and knowledge
- Address any longer term development needs related either to the job or personal career plan

Remember going on a training course is only one of the many development possibilities.

When you agree there is a training or development need, you should also decide:

- The best way to meet it – as specifically as possible
- A deadline by which it should be undertaken
- The benefits you and your line manager expect to get out of it
- When and how you will measure its effectiveness

4.7 Consider Varying Development Opportunities:

- Selective reading
- Working with more experienced colleagues on specific activities
- Some form of secondment
- Visits to other organisations
- Representing the organisation at meetings
- Membership of working groups and committees
- Attending conferences and seminars
- Giving a talk on a specific topic
- Training others
- Coaching
- Mentoring
- Apprenticeship

5. TALENT MANAGEMENT CONVERSATION; TALENT MAPPING TOOL AND SUCCESSION PLANNING

Effective and honest communication is at the heart of the talent conversation. It is a two-way conversation where the manager and member of staff explore where the individual sits within the talent tool. This enables the manager to give constructive feedback about an individual's performance and the behaviours and values that they demonstrate.

The primary focus of the talent mapping tool is to begin a conversation about maximising the potential of all CCG employees.

The manager should discuss positively with the job holder where they think they are within the tool, whilst thinking about:

- Their career aspiration at this point in time
- Their current performance
- Their competence in relation to the current role
- The next step up in terms of their career
- Work and non-work factors

All staff will be able to access appropriate development activities. You may have a member of staff performing at a very high level i.e. exceeding expectation in the appraisal system, however, because of their career aspirations do not wish to move to a more senior position or their personal circumstances would not allow it at the time. They remain part of the talent pipeline of the CCG and should be kept motivated in their role.

5.1 Maximising talent through coaching conversations

The success of the NHS is dependent on having the right people with the right skills in the right roles – with the right organisational behaviours and values. To maximise their potential, staff must have access to the right opportunities, exposure, stretch and development whether it is for their current role or a future role in the NHS. Talent management is therefore a critical part of the appraisal conversation in order to ensure that the CCG is able to motivate and develop staff with high potential, ambition and drive to progress.

The CCG is committed to using the new NHS talent management tool – *Maximising Potential Conversation Tool: A guide for managers and employees* which is available at <https://www.leadershipacademy.nhs.uk/resources/talent-management-hub/talent-management-guides/> It is important that managers and staff familiarise themselves with this document in advance of the appraisal. This would ensure a productive conversation regarding talent. The document covers

- What is talent management - <https://www.leadershipacademy.nhs.uk/download/5341/>
- Overview and use of maximising potential conversation - <https://www.leadershipacademy.nhs.uk/download/5343/>
- Preparing for the maximising potential conversation - <https://www.leadershipacademy.nhs.uk/download/5346/>
- Holding the maximising potential conversation - <https://www.leadershipacademy.nhs.uk/download/5349/>
- Rating performance and behaviours - <https://www.leadershipacademy.nhs.uk/download/5352/>
- Guide for using the Healthcare Leadership Model with the Maximising Potential Conversation Guide - <https://www.leadershipacademy.nhs.uk/download/5872/>

Managers are encouraged to undertake the appraisal training which includes key elements of adopting a coaching style approach in appraisals.

Useful coaching tips

What to avoid;

- Asking questions that can be answered simply with “yes” or “no”. Instead consider questions that start with “what”, “how”, “When” and “where”
- Leading questions - as they may be perceived as manipulative and dishonest
- Frequently asking questions that begin with a “why”
- Asking questions about other people who are not present as you cannot coach people who are not present.

These types of questions may leave staff feeling defensive. That feeling of defensiveness can damage feelings of trust and openness.

Questions to consider

- Where possible, use open-ended questions as these generate thinking and reflection on the part of the appraisee and cannot be answered with a yes or no response. It also ensures that the appraisee is focused on the issues being discussed.
- Ensure that questions are focused on the current situation as the aim of coaching is to help the appraisee to progress by changing how he/she perceives the issue in discussion in order to identify realistic actions to take and to learn from those actions
- Ask clarifying questions to help you and the appraisee to understand the key point of what they are saying. Clarifying questions often result in discovering the root cause of issues
- Ask the appraisee about their perspectives, assumptions and actions in relation to what is being discussed. Research suggests that immense adult learning occurs by closely examining their thinking. People often struggle because of inaccurate perceptions and/or assumptions therefore ask the appraisee questions about their thinking, assumptions and beliefs about current priorities
- Ask the appraisee for help with helping them as this can engender trust and confidence in the relationship e.g. question like “what additional questions should I be asking now?”

Some examples of coaching questions

- How do you feel about your objectives?
- How important is this?
- Where do you feel stuck?
- What is the intent of what you are saying?
- What can we do to help you?
- What do you think the problem is?
- What is your role in this issue?
- What have you tried so far? What worked? What didn't?
- Have you experienced anything like this before? If so, what did you do?
- What can you do for yourself?
- What do you hope for?
- What is preventing you fromK?
- What are your aspirations?
- What would you be willing to give up for that?
- What have you learned?
- What are your development needs?

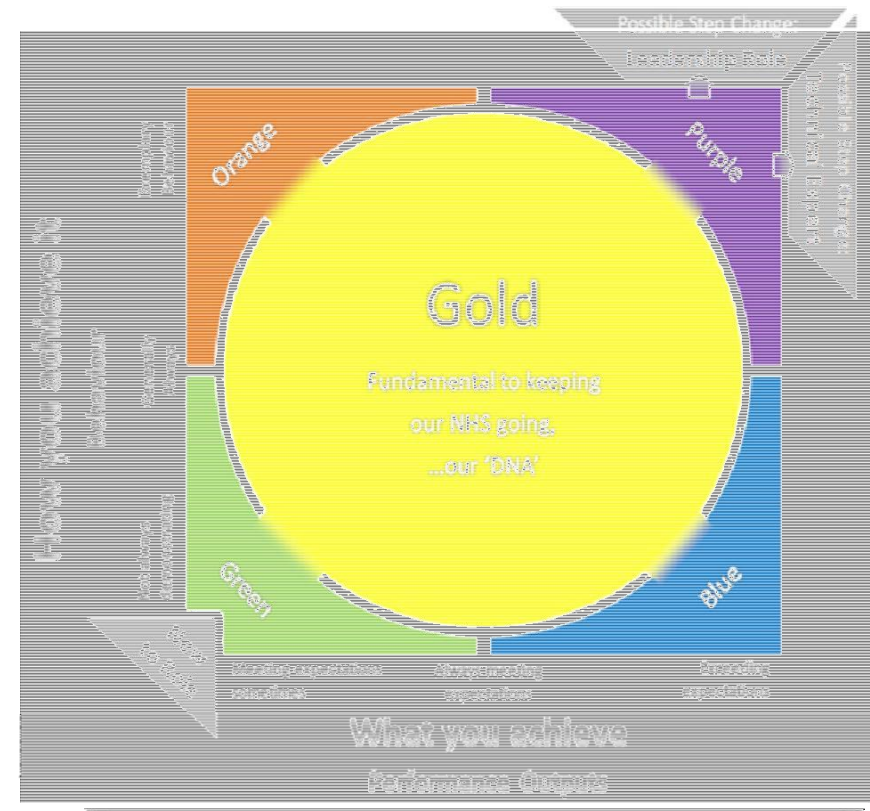
Appendix 1: Talent Management Tool – Maximising Potential Conversation Tool

below will help you with this conversation and to identify where to map an individual based on their performance. Further information and guidance can be found via the link below to the Maximising Potential Conversation Tool Guide <https://www.leadershipacademy.nhs.uk/resources/talent-management-hub/talent-management-guides/>

Appendix 1 – Talent Management Conversation Tool

Essentially the tool is a visual way of helping individuals with exploring the journey in their current role and maximising their potential within it, and their potential beyond their current role.

Talent Management Definitions	
GREY	Employees new to the role need time to understand their responsibilities, expectations and how to maximise their potential.
GREEN	Employees need targeted support to reach their full potential.
GOLD	Employees here always exhibit the right behaviours and always meet performance expectations/outcomes.
PURPLE	Employee's potential is truly maximised in their current role and they may have the ability to stretch into something new and more challenging.
ORANGE	Employee demonstrates the right behaviours and values but needs support to be able to meet or even exceed performance expectations.
BLUE	Employee may be meeting their performance expectations / outcomes but they may not always demonstrate the right behaviours in doing so and require support in aligning their behaviour.
Please select the colour category in the box below that most fits your staff member COLOUR MOST REPRESENTATIVE:	
Further information and guidance can be found via the link below to the Maximising Potential Conversation Tool Guide: https://www.leadershipacademy.nhs.uk/resources/talent-management-hub/talent-management-guides/	



6. NEXT STEPS

Appraisee and appraiser should discuss career aspirations, their readiness and the next steps for progression. For those who are content to stay in their current role, development opportunities should be identified to keep them motivated

7. DEFERRAL OF PAY PROGRESSION DUE TO CONCERNS ABOUT PERFORMANCE In exceptional circumstances, appraisers can seek to defer pay progression. This will normally be where the appraisee does not meet the expected competency/ies, or if there are serious weaknesses in performance at any other point in the pay scale. It is expected that ongoing conversation and timed framed action plan to support the staff member to achieve the expected level of performance is in place prior to this appraisal meeting. Appraisers should refer to the **CCG Appraisal Policy** for further information. Deferment will last until any identified issues are resolved. Please note that incremental pay date does not change.

8. ONGOING REVIEWS

Line managers should meet with their staff regularly during the year to review their objectives, performance and development needs. Monthly one to ones are recommended and regular review meetings will mean that the annual performance review will contain no surprises and should make it easier to complete the process. These meetings will offer opportunities for:

- Giving regular feedback to be able to identify problems, improve performance and ensure objectives are up-to-date;
- To raise issues that might be of concern;
- Both parties to take stock of any change in the workload or priorities;
- Cross-check cumulative progress against the set targets.

The appraiser should keep a record of each performance review and the appraisee should keep a copy as a reminder of what has been agreed. Keep a record of all review meetings in order to refer to these at the end of the reporting year when writing the appraisal report.

If the appraisee's performance or behaviours fall below an acceptable level the manager must act immediately. Do not wait until reporting time. Discuss the problem and agree an action plan to improve, spelling out what improvements they need to make and what support will be given.

If the shortfall of performance is significant or sustained, please consult early with the HR Business Partner for the next steps.

9. RESOLVING DISAGREEMENTS

If the appraisee disagrees with any aspect of the appraisal, including the location on the talent management tool, they should discuss it with their manager in the first instance. If the problem cannot be resolved informally escalate this to the next in line manager who will then check the reasonableness. In the event that these forms of resolutions do not succeed HR advice should be sought to explore alternative routes of resolution.

10. PAPERWORK

The manager is responsible for completing the appraisal paperwork. This should subsequently be signed by both parties following the meeting. The appraiser and appraisee should each keep a copy for reference and a copy should be sent to the ODL Team electronically via email to ccg.training@nhs.net .