

CHRE

Employee Guidance – Appraisal Guidance Notes

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1 CHRE Appraisal Process

1.1 Introduction

The Council for Healthcare Regulatory Excellence is committed to continually enhancing the performance of our people. In order to improve this process we are introducing a revised appraisal process which aims to ensure that all employees fully understand how they are contributing to CHRE's continued success, how we can work together to ensure that the organisation achieves its goals and that individual employees enjoy a stimulating and rewarding career with CHRE.

One of the key changes to the appraisal process is the timeline: from 1 April 2009 all employees will be appraised during a set timetable rather than on their start date anniversary. The reason for this change is to enable us to set objectives annually to meet the needs of the organisation, to ensure employees understand how their objectives meet the organisation's objectives and to bring in line the pay review process with the appraisal timeline.

The purpose of these guidelines is to provide you with useful information on the revised appraisal system including your role within the process and how you can get the most out of it.

1.2 Why appraisals are important

The appraisal builds on the informal day to day feedback and supervision that you receive from your manager. It is a structured conversation about you and your performance over the last 12 months. It also looks to the future by focussing on what you want to get out of your career at CHRE and offers you the opportunity to create a plan that helps measure your progress and development throughout the year.

It gives the organisation an opportunity to recognise good performance formally and to talk about the areas where we can improve.

Each employee will be reviewed on an annual basis (with a six month interim review). The benefits of performance review for the organisation and individual will only be achieved by the continuous commitment of all those involved.

CHRE's appraisal process has been designed to meet the following objectives:

- To review job roles and job descriptions and measure an individual's performance against them.
- To gauge an employee's ability to carry out a job role.
- To review each employee's personal objectives.
- To assist employees in performing their job to the best of their ability, maximising their job satisfaction and their contribution to the organisation's objectives.
- To identify an individual's training and development needs.

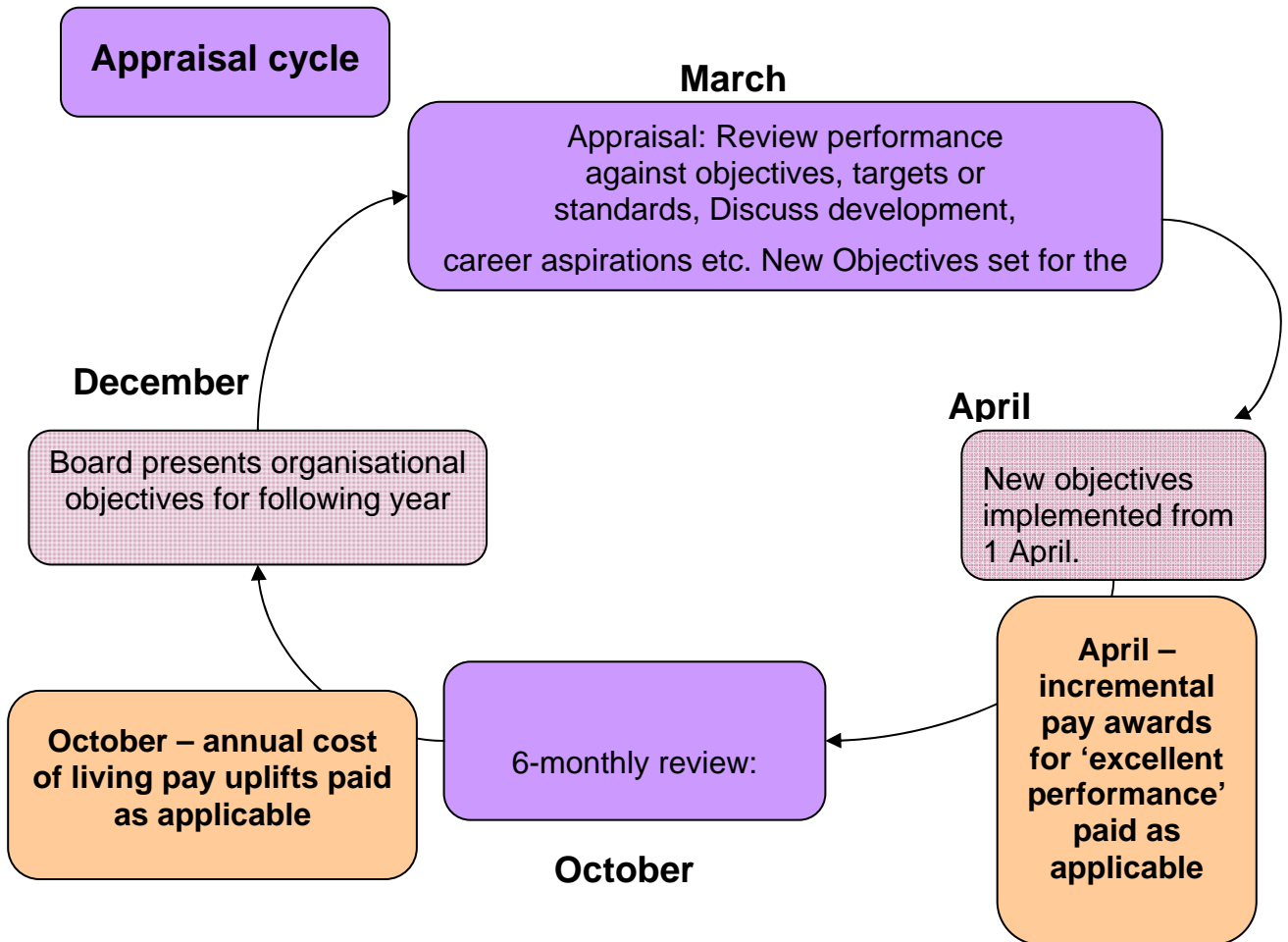
- To identify skill gaps throughout the organisation as a whole.
- To highlight the continual professional development needs that each individual has to develop within his or her current position or into another position.
- To improve communication.
- To strengthen employee/management relationships and motivation.

There are three golden rules of any performance review:

- **No surprises** – Any issues and feedback on successes or concerns should be raised at the time of them happening and not stored up for the appraisal – however, in the appraisal we can review them and plan for the future.
- **‘Annual’** – The review is an annual review and should be based on the performance over the past 12 months and not just the last few months which are easier to remember.
- **Future focused** – The annual review should focus on future performance as much as, if not more than, past performance. It is important to summarise the past year and learn lessons from it, but put more emphasis on future objectives, standards and/or targets and related development needs.

1.3 How the CHRE appraisal process works

1.3.1 Timeline



1.3.2 Timings

The appraisal cycle starts on 1 April. The table below lists the various dates and actions that need to take place during the year.

- March**

Annual review - every employee will be appraised and the relevant forms completed by the employee and their manager. A review of each appraisal rating will be reviewed by the Management Team to ensure consistency across the organisation. Employees will be informed of their performance rating and the appraisal form finalised and signed by all parties.

New employees will enter the scheme following successful completion of their probationary period. (A separate review process is performed during the probationary period)

- **March** **Objective setting** – The manager and employee should agree and document objectives, standards and/or targets. They must be agreed and documented by 30 March.
- **April** **Incremental Pay awards** - for excellent performance as identified through the appraisal process and authorised by the Management Team will be paid to those applicable. In addition employees must have completed one year's service (including the probationary period) to be entitled to this incremental pay award.
- **October** **Six-monthly review** –. During October every employee should be involved in a six-monthly discussion reviewing their performance over the past six months and revising, if appropriate, any actions for the next six months.
- **October** **Annual cost of living Pay Uplifts** – paid as applicable effective 1 October.
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1.4 Documentation

There are two forms which will need to be completed during the appraisal process. They are the annual appraisal form and the six month interim appraisal form. There is also an employee preparation form which employees are encouraged to fill in before the appraisal takes place. Please see appendices for copies of each form.

Prior to each review your manager will informally advise you that they are due and provide you with copies of the relevant forms. You should familiarise yourself with each form and may complete the employee preparation form to assist you during the meeting. Please see section 1.6 for more details.

The appraisal form is used to gather and record information on the appraisal discussion. The appraisal meeting is a discussion guided by the form, and should not become a form filling exercise but rather a framework to shape the discussion and to record the discussion and actions agreed.

Below is a breakdown of each of the sections within the appraisal form.

1.4.1 General Performance Review

This section looks back at the previous year's work, focusing on objectives and highlighting areas which have gone well, and areas that have been less successful. Feedback and discussion should take place around these issues.

Emphasis should be placed on developing strengths and improving relevant areas of performance.

1.4.2 Agree Objectives

Clear objectives will be discussed for the coming year. These will be agreed in developmental terms which are linked to the needs of the organisation. See section 1.5 for more detail.

1.4.3 Training and Development

Once objectives have been agreed, necessary development issues should be explored and development and training will be prioritised to meet the needs of both the organisation and the individual.

1.4.4 Review Outcomes of the Discussion and overall Performance Rating

This enables evaluation of the process to ensure that its effectiveness is maintained.

Following your appraisal your manager will determine your overall performance rating. This rating will be recommended by your manager and collectively agreed by the Management Team to ensure consistency of performance ratings across the organisation.

Payment of incremental points on the salary bands is subject to excellent performance.

There are five tests of 'excellent performance'. In order to qualify for an increment you will have to demonstrate that you have met at least four of the five tests, two of which (numbers one and five) are essential.

- | | |
|--|--------------------------|
| 1. Meeting all previously agreed performance objectives | <input type="checkbox"/> |
| 2. Achieving targets/performance more demanding than the previously set ¹ | <input type="checkbox"/> |
| 3. Acquiring new skills that enhance performance of their job | <input type="checkbox"/> |
| 4. Demonstrating initiative or taking on additional responsibility | <input type="checkbox"/> |
| 5. Being an effective and positive member of the team | <input type="checkbox"/> |

Once the performance rating has been agreed by the Management Team, your manager will inform you and provide you with the completed appraisal form.

¹ For people still within their first full year at CHRE this is likely to include targets/objectives set during the probationary period.

1.5 Objective Setting

Each year the Chief Executive will present to all employees CHRE's organisational objectives for the following year. It will be within these objectives that individual employee objectives are set each March.

All objectives set for employees will be 'SMART'. SMART stands for specific, measurable, achievable, realistic and time bound:

SMART Objectives:

- **Specific:** It relates to one topic only, within the individual's control. The objective should state clearly what exactly is to be achieved.
- **Measurable:** States how success will be measured in quantifiable terms, so both the individual and manager can assess achievement. Measurements can be in terms of QUALITY, QUANTITY, COST or TIME.
- **Achievable:** The objectives should be challenging, realistic and resourced. People need to be capable of meeting the objectives but they still need to be stretching. In addition, objectives should be agreed by the parties involved.
- **Realistic:** The objectives should be something the individual can actually impact upon or change; they must have the necessary knowledge, authority and skill. In addition, they should be important and relevant to the organisation.
- **Time bound:** Reasonable, but challenging timescales agreed. A review date or milestones may be set for larger objectives.

New employees will have objectives set when they first join the organisation or when commencing a new role. These will be focused around their initial development or role orientation and may be linked to a probationary period. As soon as is feasible, objectives will be set until the end of March which can then be reviewed, in conjunction with initial objectives, at the annual review.

1.6 How to get the most from your appraisal

1.6.1 Before the appraisal

Preparation by both parties is the key to a successful appraisal. The following tips will ensure that you make the most of your appraisal each year. If you have any questions, make sure you raise them with your manager prior to your meeting.

Your manager will give you notice of your appraisal to ensure you have sufficient time to prepare. During this time you should:-

1. **Review the forms and make notes.** It will be beneficial for both parties if you review the appraisal form, complete the employee preparation form and make notes on what you would like to discuss with your manager at your appraisal.

2. **Review last year's appraisal** (you may obtain a copy from the [Director of Governance and Operations](#) if you don't have one) to identify the progress made against agreed objectives and make a note of any additional achievements that you've made.
3. **Annual performance.** When preparing, ensure that you focus on ALL of last year's performance and not just the last few months which are 'easier to remember'.
4. **Real examples.** Ensure you have lots of real examples of the points that you would like to discuss.
5. **Future focused.** Consider your goals and objectives for the next 12 months, what you would like to talk about in terms of your career with CHRE and any personal development that would assist you.

1.6.2 During the appraisal

Although your manager will lead the appraisal, it is your appraisal and for you to get the most out of it you will need to contribute to the discussion.

1. **Don't avoid issues.** Use the appraisal process to raise any issues or problems that may be affecting your performance. It is a good idea to propose solutions to any problems. Even if they are not implemented, it shows that you are thinking positively and want to find solutions.
2. **Agree priorities.** Both you and your manager may have differing views on what are your key priorities. There may be good reasons for this, however discussion should help clarify the issues and help arrive at an agreed set of priorities.
3. **Propose objectives.** Do not go into the appraisal meeting assuming that your manager will have your next year's goals and targets already defined. Work out your own proposals, your own targets – this is your opportunity to achieve the things you believe to be important.
4. **Agree goals and targets.** The setting of goals and targets should not be a one-way process. Do not be afraid to take a completely fresh look: you may need to establish different kinds of goals and targets.
5. **Agree further training and development** and agree personal development requirements. Discuss aspects of continuing development which have not yet been addressed. Take the time to focus on your personal development which both your job and you can benefit.

Your manager will help you to identify training needs, some of which may be more obvious than others. Take the opportunity to review your competence and capability, both technically and in terms of general development.

Once you have objectives set and targets agreed, consider whether you need extra support in order to move forward, in terms of training, resources, or even time for further clarification.

6. Closing the meeting. You need to be committed to the tasks and activities ahead and it is vital that they are clarified and expressed in a way that you understand. Make sure the actions/objectives and targets are recorded – these will be reference points over the next 12 months that should be reviewed on a regular basis. Try to see your performance appraisal document as a ‘working document’ that can be used throughout the year and reviewed monthly with your manager. This will help you to understand where you are in relation to both achieving objectives as well as the development that you want to achieve.

7. Final Stage. Following the appraisal meeting your manager will document an overview of your discussions and make a recommendation for your performance rating. The Management Team will then meet to review the ratings for all employees to ensure consistency across CHRE. Once your performance rating is agreed your manager will complete your appraisal form and will then ask you to review the form, add any additional comments and sign the document. One copy of the form will be retained by you and the original will be placed on your personnel file.

1.7 Further information

Should you wish to find out more about any aspect of the appraisal process, or queries or concerns regarding your performance please contact your manager in the first instance.

If you have any concerns and feel unable to discuss these with your manager please contact the [Director of Governance and Operations](#) or Chief Executive for further assistance.

2 APPENDICIES



2.1 Appendix One - ANNUAL APPRAISAL FORM

Name

Post

Length of time with CHRE

Date of Appraisal

1 Job description (are all parts of the job description still relevant?)

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PERFORMANCE REVIEW

2. List previously agreed objectives

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3. Have these objectives been met?

4. List any obstacles that have hindered progress against agreed objectives

5. Other achievements during the review period

OBJECTIVE SETTING

6. Set out the objectives for the period until the next annual review

7. Identify any barriers that may prevent progress against agreed objectives and identify how these can be overcome

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TRAINING AND DEVELOPMENT

8. List training undertaken during the review period (have the training needs identified during the previous review been met?)

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10. Identify the training needs required for the next period and who will be responsible for organising this.

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OVERALL PERFORMANCE RATING

11. Payment of incremental points on the salary bands is subject to 'excellent performance'.

There are five tests of 'excellent performance'. In order to qualify for an increment a staff member will have to demonstrate they have met at least four of the five tests, two of which (numbers one and five) are essential.

- 1. Meeting all previously agreed performance objectives

- 2. Achieving targets/performance more demanding than the previous year

- 3. Acquiring new skills that enhance performance of their job

- 4. Demonstrating initiative or taking on additional responsibility

- 5. Being an effective and positive member of the team

Are you recommending that an increment be paid? (If so please give clear evidence that performance has met the criteria as described in point 11 above.)

If not, include any comments and highlight any areas where improvement is required.

Signature: _____

Date: _____

3. Identify any barriers that are preventing progress against agreed objectives and identify how this may be overcome

4. How is your agreed training and development plan progressing?

5. Which parts of the job do you have difficulties with and are there any obstacles which cause you particular problems? If so, detail how this will be overcome.

6. Are there any other points which you would like to raise (e.g. do you have the support you need/do you feel part of the team/are you satisfied in your job)?

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Further comments by manager

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Signature: _____ Date: _____

Comments of employee

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Signature: _____ Date: _____



2.3 Appendix Three - EMPLOYEE PREPARATION FORM

Employees may wish to prepare for the appraisal by considering the following.

1. Identify any particular part of the job you feel you do well or which you particularly enjoy.

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2. Which parts of the job do you have difficulties with and are there any obstacles which cause you particular problems?

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3. Have you got any strengths and skills which you feel are not used in your job?

4. Are there any other points which you would like to raise (e.g. do you have the support you need/do you feel part of the team/are you satisfied in your job)?

5. How do you rate your own performance? (Think of things you have done particularly well and those that have not gone as planned)

Document Information**Version Control**

Printed documents are uncontrolled. This document is only valid on the day it was printed.

Version	Description of Version	Date Completed
0.1	Employee Guidance – Appraisal Guidance Notes	01.04.2009
0.2	Employee Guidance - Appraisal Guidance Notes with amended job titles.	06.04.2009

Associated Documentation

Version	Description of documentation

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