NHS
Yorkshire and the Humber

Policy on Aligning Strategic and Individual Performance and Development

November 2007

POLICY REFERENCE INFORMATION

Policy Reference Number	
Version Number	1.0
Status	Draft
Author / Lead	Associate Director of Organisational Development
Equality Impact Assessment Date	By 31 March 2008
Implementation Date	November 2007
Date of Last Review	
Date of Next Formal Review	October 2012

DOCUMENT REVISION RECORD

Version	Description of change(s)	Reason for Change	Author	Date

RELATED POLICIES AND LEGISLATION

Policy Reference Number	Policy Title
	Training Policy (currently under development)
	Application for Training and Development Policy
	Equal Opportunities Policy
	Implementation of the Knowledge and Skills Framework (KSF) (currently under development)

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Policy on Aligning Strategic and Individual Performance and Development

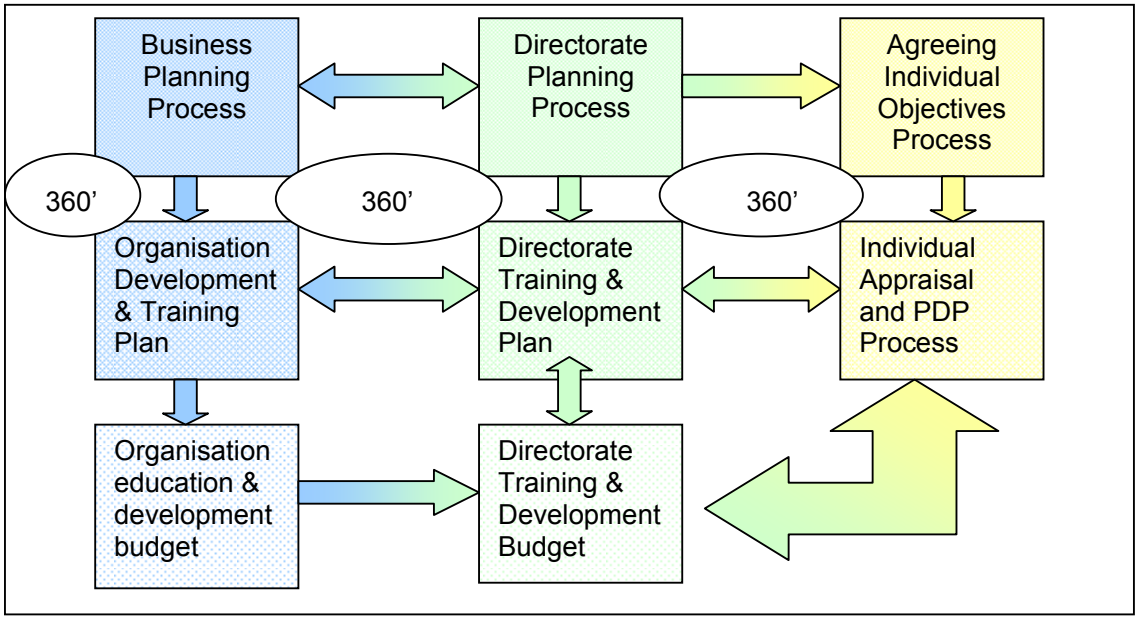
1. Policy Statement

1.1. NHS Yorkshire and the Humber recognise that it can only deliver its strategic intention through the effective delegation of business plan objectives to individual team members and the continual and consistent development and support of staff to achieve them.

1.2. We also recognise that employees have a right to expect:

- Induction to their job, workplace & organisation
- Clarity about the functions and boundaries of their role
- Clarity about the criteria against which effective performance of that role will be assessed
- Regular feedback on performance (at least quarterly)
- Appropriate training and development to meet current and anticipated demands of the role (see The Training Policy)
- Discussion of features that will maximise their performance (at least annually)
- Discussion of future career aspirations (at least annually)

1.3. We recognise that these expectations can only be delivered through an integrated business planning, appraisal and personal development planning process, which aligns organisational aspirations with individual performance and provides for effective team and individual development as follows:



2. Scope of Policy

2.1. This Policy applies to all employees of NHS Yorkshire and the Humber, except those employed on Very Senior Manager Contracts, and those staff who are part of services hosted by the SHA.

3. Underpinning Principles

3.1. NHS Yorkshire and the Humber is committed to enabling each member of staff to maximise their contribution to the organisation's success and to access appropriate training and development to enable them to do this and further realise their potential at work.

3.2. This policy is therefore underpinned by the following key principles

- Every member of staff is entitled to and should expect an annual appraisal
- One to one discussions between individuals and their line manager should take place at least quarterly to set objectives and standards, review performance, identify development and learning needs and agree development plans
- The outcomes of these discussions, key objectives and personal development plans should be documented in whatever format suits the manager/staff member with copies held by both for the record
- Individual and team objectives and performance standards should evolve from and collectively deliver the business plan
- Appraisal processes in each team should be quality assured by the Heads of Department/Director (appraising manager's manager)
- Excellence in appraisal practice should be the norm
- All Directorates will draw up local training and development plans linked to business plan achievement and identify and agree development budgets
- The SHA will set aside an annual training and development budget which will be used to fund corporate development needs
- There will be devolved Directorate training and development budgets to support directorate training plan and agreed individual training and development needs
- *Mechanisms for providing 360% feedback will be developed and introduced into the appraisal policy in due course*
- *Links to the NHS Knowledge and Skills Framework will be developed in due course*

4. Quality assuring appraisal

4.1 The SHA is committed to ensuring that appraisal and personal development planning is undertaken on a regular basis in line with the principles and timescale set out in this document, that appraisal processes are of a consistently high quality, and add value in delivering organisational objectives and in developing individuals' skills, capabilities and careers.

4.2. The SHA will therefore quality assure appraisal in three ways on an annual basis, as follows

- By using the annual Staff Attitude Survey
- Via an electronic staff audit which reviews whether appraisals are taking place, and whether objectives and personal development plans are being agreed, and assesses the quality and impact of appraisals
- By providing where necessary training for both Appraisers and Appraisees

5. Procedures

5.1. As outlined above at 1.3, Organisational and Directorate business plan objective setting, training and development planning, individual objective setting and personal development planning are intimately linked and best created by a dynamic iterative process, taking both a top down and bottom up approach.

Linking Business Planning and Appraisal

5.2. On an annual basis the Business Planning process will include both synthesised contributions from Directorates in identifying future needs based on their local knowledge and expertise, nationally driven strategic requirements, and input from the SMT to shape it in the context of the SHAs wider strategic intentions

5.3. The Business plan will be signed off by SMT and the Board, and will be translated into Directorate plans.

5.4. Individual Directorates will then translate their Directorate plans into individual and team performance objectives and these will be agreed with individuals.

5.5. For team members whose roles are not largely concerned with the achievement of specific objectives, then standards of performance that support the achievement of the corporate business plan should be agreed.

5.6. As objectives and performance standards are reviewed and agreed, each team member will have a one to one meeting with their line manager to consider:

- Individual performance over the last year
- Requirements for the coming year, and set objectives
- Longer term career aspirations
- Any training and development needs that arise from these, and agree a personal development plan
- Any other job related features that will help maximise their performance

5.7. This discussion should be documented and a copy retained by both team member and line manager using whatever format they find useful. Attached at Appendix A are some sample templates, and at Appendix B an extract from best practice on appraisal practice

Training and Development Planning

5.8. As part of the Business planning and Appraisal process due consideration will be given to organisational, Directorate and individual training and development needs

5.9. The Business Plan will be underpinned by an SHA OD and Training Plan. The OD and training plan will address the corporate development implications of the business plan e.g. new skill and knowledge development. See below in section 6

5.10. Each Directorate will then review development and learning needs required to support the delivery of the agreed Directorate and individual objectives and will produce a Directorate Training and Development Plan.

5.11. Each Directorate will then make a case for individual Directorate training and development funding from the Corporate Training and Development Budget.

5.12. Directorate Training plans will be reviewed by Heads of Forum to identify any common development needs that might be delivered on an organizational basis.

5.13. Centrally managed funding will cover corporate development needs and those Directorate training needs where economies of scale can be achieved by joint commissioning. See section 6

6. Investing in training and development

6.1. NHS Yorkshire and the Humber recognize that to be successful it must attract, retain and develop the best staff with the best skills, and capabilities. It also recognizes that it has a crucial part to play in developing staff that will play critical roles in the future of the wider NHS. Therefore it is committed to ensuring sufficient investment in training and development

6.2. An annual training and development budget will be set aside to support organizational, Directorate and Individual training and development. This will normally be upto x% *(to be confirmed in 07/08)* of the Organizations operating budget.

6.3. Resources will be set aside from this in the first instance to do the following

- Fund Statutory and Mandatory training, e.g. health and safety, fire, IM&T, Equal opportunities etc

- Fund organization wide development needs, e.g. OD programmes, leadership development, Directorate Training and development needs arising from PDPs where economies of scale can be achieved by joint commissioning, etc.

6.4. The remaining resources will then be devolved to Directorates, based on number of employees, to fund the delivery of their training and development plans, and to support the realization of individual personal development plans, e.g. attendance at specific training events, conferences etc.

6.5. Where there is a requirement for a post holder to undertake a specific professional qualification, funding for this should be built into the costs of establishing the post rather than drawn from training and development budgets.

6.6. The Organization will normally fully fund agreed individual training and development costs.

6.7. Access to time off and financial support for training and development will be governed by the SHAs Study Leave Policy.

7. Relationship with other policies

7.1. This policy should be read in conjunction with the following policies which directly impact on the operation of Appraisal and personal development.

- NHS Yorkshire and the Humber Training Policy (currently under development) – this sets out rights, responsibilities and expectations with regard to training and development for SHA Staff
- NHS Yorkshire and the Humber Application for Training and Development Policy – this sets out in detail the process for securing time off and funding for training and development
- NHS Yorkshire and the Humber Equal Opportunities Policy – this sets out the requirements for fair and equal access to training and development
- NHS Yorkshire and the Humber Implementation of the KSF (currently under development) – this sets out how to utilise the KSF as part of the annual pay review process.

8. Roles and responsibilities

8.1. SHA Directors are responsible for

- agreeing SHA and Directorate Business Plans
- agreeing SHA and Directorate training and development budgets
- Ensuring that this policy is fully implemented across the SHA and within their own Directorate

8.2. SHA Directors and Heads of Service (i.e. Appraising managers' line managers) are responsible for

- Ensuring fair, equitable and effective implementation of the process

8.3. Line Managers are responsible for

- Holding regular one to one review meetings with their team members
- Holding annual appraisal, objective setting and development planning meetings with individual team members
- Maintaining appropriate up to date records of discussions
- Contributing to the compilation of the Directorate training and development plan and budget

8.4. All team members are responsible for

- Booking and preparing for regular 121 review meetings with their line manager
- Booking and preparing for annual appraisal, objective setting and development planning meetings with their line manager
- Maintaining appropriate up to date records of discussions
- Their own continuing learning and development

8.5. SHA OD Team is responsible for

- Developing (with Directors) the SHA OD and Training Plan
- Developing (with Directors) the Corporate Training and Development Budget
- Implementing (with Directors) the SHA OD and Training Plan
- Supporting Directors in the production and implementation of Directorate Training and Development Plans

9. Equality Impact Assessment

At this time, an equality impact assessment (EIA) has not been carried out on this policy. However, an EIA will be carried out as soon as possible and by no means later than six months of the issue date stated on the policy cover sheet.

10. Appendices

Appendix A sample Appraisal templates
Appendix B extract from Best Practice

Appendix A1

NHS
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Appraisal & Development Review Documents

Individuals Name:	
Post Title:	
Team:	
Place of Work:	
Appraisal period, from and to:	
Date of Appraisal:	
Name of person undertaking review:	
Job Title of person undertaking review:	
Main aspects of the individuals post:	
Is a pay progression gateway applicable – if so which one?	
Incremental Date:	
Date of Next Review:	

Signature of Individual:		Date:	
Signature of Reviewer		Date:	

Achievements

Review of Job Description

Review of KSF Outline

Review of Statutory & Mandatory Training

Development Requirements

Personal Objectives

To be used for setting and recording the individuals agreed personal objectives

Personal Objective	Success Criteria and date	Comments

Signature of Individual:		Date:	
Signature of Reviewer:		Date:	

Personal Development Plan

KSF Dimension	What is the development need / interest?	What will I do to develop myself?	How will I know I have done this?	What is the planned date for completion?	What support do I need & where will I get it?	What are the barriers & how can I cover come them?

Signature of Individual:		Date:	
Signature of Reviewer:		Date:	

Personal Development – Record

KSF Dimension	Learning & development activity	Hours & dates	Has the learning activity been a) completed and b) effective?	How will you apply this learning to your work?	Who else could you share this learning with?

Signature of Individual:		Date:	
Signature of Reviewer:		Date:	

Appendix A2

Objectives

Name	
Post title	

Objective	Success Indicators	Timescales
	•	
	•	
	•	
	•	
	•	

Signature of Appraisee	***Date***
Signature of Appraiser	***Date***

Personal development Plan

Name	
Post title	

Personal Development Objective	Activities	Cost
	•	
	•	
	•	

Signature of Appraisee	***Date***
Signature of Appraiser	***Date***

Best Practice in Appraisal - What research and experience tells us

1. Best practice –commitment, design, principles

1.1. Appraisal needs commitment form the top, clarity of purpose, involvement of staff in its design and implementation, investment in terms of time and training to undertake appraisal

1.2. Appraisal needs to be part of an ongoing process of dialogue between the appraiser and appraisee

1.3. The annual appraisal should be seen as a formal event in a continuum of work related communications between the manager and the job holder

1.4. Appraisal should not be seen as the vehicle for dealing with performance problems. Performance problems should be addressed as they arise in a timely and appropriate way.

1.5. Appraisal should be a two way process

1.6. Documentation supporting appraisal should be helpful, simple and not burdensome or bureaucratic

1.7. Self appraisal which encourages individuals to systematically reflect on their performance, seeking feedback from colleagues, provides a useful starting point for appraisal discussion, and ensures attention is paid to what is important to the appraisee

1.8. Successful systems operate with integrity, and the information it generates is used with discretion, the detail of the discussion being treated as confidential, with agreement between the parties about what will be explicitly shared more widely

1.9. The best systems ensure that there is a written action plan which consists of the following, agreed objectives to be pursued by the appraisee, actions to be taken by the appraiser, and a personal development plan for the appraisee

1.10. This written output is usually shared with a more senior manager who has shared responsibility with the appraiser for ensuring the commitments in the plan are followed through, and for reading across appraisals for themes requiring investment or action, and for ensuring that appraisals are being carried out consistently.

2. Best practice in conducting the appraisal discussion

2.1. Both the appraiser and appraisee should prepare for the discussion by, looking back at previous appraisal outcomes and commitments, reflecting on achievements and challenges during the period since the last appraisal and looking forward at what might be achieved in the coming period and what support might be required.

2.2. Where possible the appraiser and appraisee should agree before hand the main agenda issues for discussion, ensuring there are no surprises

2.3. The appraisal discussion should be held in a comfortable work setting free from interruptions and distractions

2.4. Sufficient time should be protected for the discussion

2.5. The discussion should follow a logical sequence

- The appraiser and appraisee remind themselves of the purpose of the discussion
- They confirm and agree the agenda
- They work through the agenda point by point agreeing actions each party needs to take
- They check out their understanding of the agreements made and they produce an action plan and PDP

2.6. A good way of starting is for appraisers to ask the appraisee about their achievements in the previous period. The annual appraisal is an ideal opportunity to acknowledge, celebrate and reflect upon success.

2.7. Appraisals are most successful when the appraise does most of the talking and is given the opportunity to comment upon and make suggestions about what the organization could change to help improve their performance

2.8. Appraisal also works best when the appraiser sees it as an opportunity to learn and develop and is open to feedback about what might be done differently to improve performance

2.9. The appraisal should conclude by setting down in writing an action plan which details the agreements reached about what each party is committed to doing. Minimally this should set out objectives for the coming period and details of the appraisees personal development plan

2.10. The appraisal should finish on a positive note