

**Model Appraisal Procedure**

**Introduction**

**Policy Statement**

Both [**name of employer**] and [**UNISON branch**] recognises that employees should be treated fairly and this policy aims to provide consistency in the treatment of all staff.

This procedure is a framework for clear and consistent assessment of overall performance of staff and for supporting and developing their needs within the organisation’s [improvement plan / aims and values] and their own professional needs. It is also intended to foster progression within the organisation and where staff are eligible for pay progression, the assessment of performance throughout the cycle against performance criteria will form the basis on which the recommendation is made by the appraiser.

An appraisal gives each member of staff an opportunity to discuss and review with their line-manager the progress and achievements they have made in the year and to discuss any training or developmental opportunities that may arise. Appraisals should also reinforce equality policies and staff responsibilities.

As part of this process staff have a right to a clear understanding of the organisation’s expectations of them, and in return each member of staff should contribute to the organisation meeting the organisational goals and values.

The scheme aims to improve performance standards within the organisation, while at the same time develop individuals to reach their full potential. As well as a performance appraisal, line managers should ensure that lines of communication are always open and that staff have regular 1-2-1’s.

In cases of poor performance this procedure is separate from the organisation’s formal capability, disciplinary and grievance procedures.

**Scope of Policy**

This agreement applies to all staff who will be employed at [**name of employer**]

**General Principles**

* **Fairness** – This procedure sets out to treat all employees fairly, consistently, impartially, promptly, reasonably and applied without discrimination.
* **Confidentiality** – All documentation and information relating to the allegation of misconduct will not distribute to any parties not involved with the process. Any information relating the case will be kept in accordance with the Data Protection Act 1998. Any breach of confidence may be treated as a disciplinary case of misconduct.
* **Feedback** – providing information to individuals on their performance and progress and on what is required for them to perform well in the future;
* **Equal Opportunities** – This procedure will be applied without discrimination. If an employee has difficulty with any stage of this process due to a disability, it is their responsibility to discuss this with their manager or Human Resources as soon as possible.
* **Positive Reinforcement** – This procedure should be used to emphasis what has been done well, offering constructive feedback on how improvements can be made.
* **Open exchange of views** – The appraisal review should be used to have a frank exchange of views about what has happened, how appraisees feel they can improve and to request support they need from their managers to help their performance.
* **Agreement** – The appraisal review, objective settings and report are all jointly agreed between the appraiser and appraisee.

**The Procedure**

**1. Quality Assurance**

1.1 Staff will be reviewed by their line-managers. Exceptionally a member of staff may question the appointment of his/her appraiser if they feel that the choice of appraiser is inappropriate. In these cases the [head of HR] will identify an alternative.

1.2 All appraisers should have completed appropriate training on how to conduct an appraisal. All appraisers and appraisees will be trained in this policy and the training will include training on data protection and sensitivity to equality and diversity issues. This training should be given to all members of staff prior to the appraisal process beginning, as this will assist staff to fully participate and get the most out of their appraisal reviews. Also the training should emphasise the need for staff to raise any concerns they may have during this process, for example excessive workload issues, to allow for support mechanisms to be put in place.

1.3 The appraiser should prepare by making sure they have a copy of the following:

* Job description / person specification
* Any objectives which were set at last year’s appraisal
* A copy of the previous appraisal document
* A record of any training over the last 12 months

1.4 The appraisee should prepare for the meeting by reviewing the objectives set during the previous appraisal cycle and considering what evidence is available to demonstrate progress.

1.5 The appraisal meeting should be planned in advance. Appraisers will give at least 5 days notice of a review meeting to enable their appraisee to prepare. The meeting should take place in a confidential and quiet location which is free from interruptions or disturbance. Sufficient time, at least 1 hour should be set aside for the meeting. Wherever possible this meeting will be within normal contracted working hours and will be in all circumstances paid.

**2. Objective Setting**

2.1 A member of staff’s objectives should be the focus for the review / appraisal, as well as past performance. Though performance appraisal is an assessment of overall performance of each member of staff, objectives cannot cover the full range of an employee’s roles/responsibilities. Objectives will therefore focus on the priorities for an individual for the agreed period.

2.2 The objectives set will be rigorous, challenging, achievable, time-bound, fair and equitable in relation to staff with similar role / responsibilities and experience.

2.3 The appraiser and appraisee will seek to agree the objectives but where a joint determination cannot be made the appraiser will make the determination.

2.4 Staff will not necessarily all have the same number of objectives but usually there will be no more than 3 objectives.

2.5 In cases where a member of staff has a disability, the organisation will undertake to incorporate any adjustments which can reasonably be made to give a member of staff (who may also be absent for a disability related reasons) an equal opportunity to participate in the appraisal and to access pay progression.

2.6 For women on maternity leave or prior to maternity leave, there will be flexibility in the objective setting process. The organisation will not require members of staff on maternity to use Keeping in Touch (KIT) days for the purposes of appraisal process.

**3. Cycle for Performance Appraisal**

3.1 The performance appraisal cycle is annual, but on occasions it may be appropriate to set objectives that will cover a period over more than one cycle. In such cases, the basis on which the progress being made towards meeting the performance criteria for the objective will be assessed at the end of the first cycle and will be recorded in the planning and review statement at the beginning of the cycle.

3.2 Where an employee has more than one line manager the head of HR will determine which line manager will be best placed to manage and review the employees’ performance. Where this person is not the appraisee’s line manager the employee will have an equivalent or higher status in the staffing structure as the employee’s line manager.

3.3 A performance cycle will not begin again in the event of the appraiser being changed.

**4. Appraisal Review**

4.1 At the end of the performance management cycle a formal review meeting will be held where the appraiser and appraisee will discuss achievements, any areas for improvement and professional development activities. On the understanding that a planning meeting is a separate process, this meeting may be combined with the planning meeting for the next annual cycle.

4.2 The purpose of the review meeting will be to:

* Assess the extent to which the appraisee has met their objectives;
* Determine whether there has been successful overall performance in confirming the appraisee continues to meet the standards required of the job;
* If necessary, identify the need for additional support, training or development and how this will be met;
* Good progress towards the achievement of a challenging objective will be assessed favourably.

As soon as possible following the appraisal the line-manager should produce a written appraisal report, which will have been drawn up during the discussion between reviewer and reviewee. The appraisal report will include:

* Details of the objectives which were agreed for the appraisal period in question;
* An assessment of the employees performance against their objectives;
* An assessment of an employee’s professional development needs and identification of any action that should be taken to meet them.

Following the receipt of the written appraisal report, the employee can comment on the report if they dissatisfied with any of the points raised in the report. In the first instance it may be better to discuss the matter with your designated appraiser and seek to resolve these concerns. If following a discussion there still remains disagreement on the content, objective or outcome, the employee can appeal in writing. The appeal should be made to the head of HR. The head of HR will investigate the issues raised in the appeal and will respond to any comments raised about the appraisal report within 10 working days of receipt of the appeal. The head of HR decision is final.

**5. Confidentiality**

5.1The whole performance appraisal process and the statements generated under it will be treated with strict confidentiality at all times. Only the appraisee’s line manager or where an employee has more than one line managers, each of his/her line managers will be provided with access to the appraisee’s plan recorded in his/her statement, upon request, where this is necessary to enable the line manger to discharge his/her line management responsibilities. Appraisees will be told who has requested and has been granted access.

**6. Training and Support**

6.1 The organisation’s professional development programme will be informed by the training and development needs identified in the review appraisals.

6.2 The employer will ensure in the budget that appropriate resources are made available for any training and support agreed for appraises.

**7. The Performance Appraisal cycle**

7.1 The performance of all staff must be reviewed on an annual basis. Performance planning and reviews must be completed for all staff by [date].

7.2 The performance appraisal cycle will run from [month] to [month] for all staff. All appraisals will take place within an employee’s working hours.

7.3 Where a staff member starts their employment part way through a cycle, the senior management team shall determine the length of the first cycle for that employee with a view to bringing his/her cycle in line with the cycle of other staff within the organisation as soon as possible.

7.4 Where an employee transfers to a new post during the appraisal cycle, new objectives should be set and a new appraiser confirmed.

**8. Retention of Appraisal Reports**

8.1 All performance appraisal paperwork will be retained by the organisation confidentially in a separate folder with the personnel file for a minimum period of four years.

**9. Monitoring and Evaluation**

9.1 The Senior Management Team and trade union staff side will receive an annual report from the Head of HR detailing the operation and outcomes of performance appraisal arrangements.

9.2 The report will not contain any information which could enable an individual to be identified. The report will include:

* Confirmation that the process was complete by the deadline date for all staff;
* The operation of the performance appraisal policy;
* The effectiveness of the performance appraisal procedures;
* Staff training and development needs.
* Any proposed changes to the appraisal process – to be discussed with the trade unions in [the JNC].

**10. Review**

10.1 This policy will be subject to a planned review every three years as part of the organisation’s policy review process. It is recognised however that there may be updates required in the interim arising from amendments or release of new regulations, codes of practise or statutory provisions or guidance from government bodies. These updates will always be made in joint consultation with the staff side trade unions [in the JNC].

**Appraisal Process**

**Regular 1-2-1’s**

Throughout the performance management cycle line managers should have regular 1-2-1’s with employees

**Meeting 1 –Objective Setting**

Employee meets with their line manager and sets targets for the forthcoming year.

**Head of HR to take a decision on the appeal**

**The appeal decision is final**

**If employee is dissatisfied with appraisal review report they can appeal within 10 working days of receipt of the report**

**Line Manager to issue employee with written appraisal review within 10 working days of appraisal meeting**

**HR to Identify Support and development needs of the workforce and put the training in place.**

**At the end of performance management cycle – prepare for the appraisal review**

**Meeting 2 - Appraisal Review – review of objectives**

**(Set new ones if applicable for the following year)**

**Monitoring and Evaluation of appraisal process by SMT and staff-side trade unions**