NHS LA Performance appraisal 2015

Guidance note
1. Overall statement

This guidance note should be read in conjunction with the *NHS LA Performance Review and Development Policy* (HR07).

2. Format of NHS LA’s performance appraisal

NHS LA expects that every member of staff will participate in an annual performance appraisal. All members of staff will be given time during work to prepare for their appraisal. The member of staff should complete Section 3 Part A in advance of the appraisal and send it to the appraiser at least one week in advance of the appraisal meeting, which includes agreeing the preferred behavioural competency areas with the line manager. Members of staff may wish to bring to the appraisal evidence in the form of reports, documents, performance metrics and letters of acknowledgement. The line manager may also wish to consider doing the same so that the performance appraisal is structured and evidence-based. This will be addressed in the training provided to staff and line managers.

Part B should be completed during the appraisal by the appraiser, or within a week of the review meeting taking place. The boxes on the template have been designed to be completed electronically; the boxes will expand as you enter the text. There are no indicative word counts for any part of the appraisal framework – these are entirely up to the individual.

You may prefer to split the appraisal into two meetings – the first to discuss previous performance and the second to establish objectives for the year ahead.

A suggested format for the review meeting is:

1. Explain the purpose of the review (see guidance notes)
2. Review performance in general over the year (Section 3, Part A1)
3. Review performance (including progress and measures/standards) against objectives for the previous period and other achievements (Section 3, Part A2)
4. Review L&D activity undertaken since the last review (Section 3, Part A3)
5. Review competencies and behaviours required in the current post (Section 3, Part A4)
6. Agree overall assessment of performance (Section 3, Part B)
7. Agree progress and activity objectives for the coming period (Section 4)
8. Agree competencies that need to be developed (drawing on information in Section 3, Part A4)
9. Agree L&D activity required in support of objectives and competencies (Section 5)
10. Discuss longer term career aspirations (drawing on information in Section 3, Part A4)
11. Agree date for the next formal/informal review
12. The line manager to seek feedback on their role as the manager (drawing on information in Section 3, Part A1 Question 6)
The above is shown on a flowchart on the next page.
LOOK BACK

- Review performance in general over the year
- Review objectives (Ratings 1-5)
- Review L&D Activity over the last year
- Review competencies (Ratings 1-5)
- Agree overall performance assessment (4 point scale)

LOOK FORWARD

- Activity objectives for year ahead
- Agree PDP & L&D activity for 12 months
- Discuss longer term career aspirations
- Agree date for next review

Manager seeks feedback on their role as line manager

KEY:
Orange Rectangle – Start and Finish Meeting points
Blue/Green Rectangle – Discussion and Review points
Blue/ Green Diamond – Appraiser Ratings and Decision points
What are SMART objectives?
The SMART acronym is a useful way of getting objectives right:

- **Specific** - objectives should state a desired outcome. What does the member of staff need to achieve?
- **Measurable** - how will the line manager and member of staff know when an objective has been achieved?
- **Achievable** - is the objective something the member of staff is capable of achieving but also challenging?
- **Relevant (or Realistic)** - do objectives relate to those of the team / department / NHS LA?
- **Timebound** - when does the objective need to be achieved?

SMART objectives will help you know what is to be achieved. Here are some examples of objectives which are SMART and some which are not:

<table>
<thead>
<tr>
<th>SMART</th>
<th>Not SMART</th>
</tr>
</thead>
<tbody>
<tr>
<td>Improve member satisfaction by 5% over last year based on the result of the questionnaire sent to all members</td>
<td>Improve customer satisfaction</td>
</tr>
<tr>
<td>By the end of the year prepare a SMT paper on staff absence levels with recommendations on how absence might be reduced</td>
<td>Investigate absence levels</td>
</tr>
<tr>
<td>Reduce late cancellations at education workshops by 10% in the first quarter compared with the same period last year</td>
<td>Cut down late cancellations at workshop</td>
</tr>
<tr>
<td>Establish relationships with 50 new customers before the end of the year</td>
<td>Get more customers</td>
</tr>
<tr>
<td>Answer all customer queries within one working day</td>
<td>Answer customer queries more quickly</td>
</tr>
<tr>
<td>Carry out website usability testing once a quarter and improve customer satisfaction in usability tests by 25% over the course of the year</td>
<td>Improve the ease of use of the website</td>
</tr>
</tbody>
</table>

Remember to include SMART activity objectives (about the day job or about doing more of the same) and SMART progress objectives (over and above the day job). For consistency across Claims teams, SMART 'business as usual' objectives have been developed for Claims teams in conjunction with Team Leaders.

Guidance for setting objectives for new starters
This guidance applies to new starters or those who have transferred roles within the last 12 months:

For new starters who are still within their probationary periods i.e. have been employed for less than 6 months
There is no requirement to conduct a performance appraisal at this stage but line managers will be expected to agree and monitor KPIs/objectives in line with the *NHS LA Induction Policy and Procedure* (HR08) and NHS LA *Probation Policy and Procedure* (HR20).

For new starters who have completed their probationary periods i.e. have been employed for 6-12 months
Line managers will be expected to conduct a performance appraisal, communicating to the new starter that the scores for both the objectives and the behavioural competences are indicative scores as this appraisal is being conducted part way through the individual’s first year in post. It is noted that there may be an increase in the scores for subsequent appraisals as individuals progress and develop in their roles. The individual should be made aware that the full year’s performance appraisal meeting will take place next year.

For any employees who have transferred roles or line managers within the last 12 months
The ‘new’ line manager is responsible for conducting the performance appraisal, but may wish to seek feedback from the individual’s previous line manager on performance during the previous role or with the previous line manager, as well as appropriate input into the scoring of the objectives achieved and behavioural competency areas demonstrated, during the individual’s time in their previous role. Alternatively, the previous line manager can conduct the review of past performance (‘look back’ – Section 3) and the new line manager can conduct the setting of future objectives and personal development plan (‘look forward’ – all other Sections) either at a joint performance appraisal review meeting involving both line managers or at two separate meetings with each line manager.

Please contact the Education and Learning team if you want to discuss your individual circumstances.

**What is performance against competencies and behaviour standards?**
The way a member of staff achieves their objectives is often as important as the end result. This is where competencies come in. Competencies are the behaviours that members of staff need to perform a job to a high level. They relate to how people deliver objectives rather than what the objectives are.

NHS LA competencies and behaviour standards are drawn from NHS LA’s vision and values, the Agenda for Change Knowledge and Skills Framework and the NHS Constitution.
NHS LA has identified ten behavioural competencies for all NHS LA members of staff:
A. Knowing the business
B. Communicating effectively
C. Embracing change and being flexible
D. Commercial and service development and being creative
E. Delivering on goals
F. Developing self and others
G. Leadership and integrity
H. Teamwork
I. Analysis and judgement skills
J. Planning and organising.

Each competency is divided into three levels which provide examples or behavioural indicators from which the individual member of staff and their line manager can measure performance. The three levels have been grouped into competency standards with anticipated levels of performance according to banding groups.

- Level 1 – AfC Grades 3, 4 and 5
- Level 2 – AfC Grades 6 and 7
- Level 3 – AfC Grades 8 and above.

See pages 10-19 for the descriptors of behavioural competencies.

The behaviours listed are indicative rather than prescriptive. It is expected that an individual member of staff’s pay band will be taken into account when scoring against a competency. For example, if the member of staff is a band 8A, although they are expected to exhibit behaviours outlined in level 3 against competency standards, the score will take into account their band, as compared with a member of staff who is at a higher band level (for example, the scoring for a band 8A will take into account that they are expected to demonstrate the behaviours in level 3 at an introductory level, whereas the scoring for a band 9 will take into account that they are expected to demonstrate the behaviours in level 3 to an advanced level).

As part of the appraisal (in advance of the review meeting) the member of staff and their line manager will firstly agree 6-8 of the competencies most appropriate for their role and then rate the member of staff’s performance for each of the competencies. It will be a mutual decision between the member of staff and their line manager as to which competencies are chosen for scoring.
For the **Claims function** we recommend these behavioural competencies:

<table>
<thead>
<tr>
<th>Competency</th>
<th>Claims Assistant (Band 4 Level 1)</th>
<th>Case Manager (Bands 6&amp;7 Level 2)</th>
<th>Case Manager (Band 8A Level 3)</th>
<th>Deputy Team Leader (Band 8A Level 3)</th>
<th>Team Leader (Band 8B Level 3)</th>
<th>Technical Claims Manager (Band 8B Level 3)</th>
<th>Head (Band 8C/D Level 3)</th>
</tr>
</thead>
<tbody>
<tr>
<td>A. Knowing the business</td>
<td></td>
<td></td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
</tr>
<tr>
<td>B. Communicating effectively</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
</tr>
<tr>
<td>C. Embracing change and being flexible</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
</tr>
<tr>
<td>D. Commercial and service development and being creative</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>E. Delivering on goals</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
</tr>
<tr>
<td>F. Developing self and others</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
</tr>
<tr>
<td>G. Leadership and integrity</td>
<td></td>
<td></td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
</tr>
<tr>
<td>H. Teamwork</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
</tr>
<tr>
<td>I. Analysis and judgement skills</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
</tr>
<tr>
<td>J. Planning and organising</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
</tr>
</tbody>
</table>

The rating is based on an assessment of the member of staff’s positive contribution against the competencies. The score for each competency is between 1-5. It is expected that the self-rating and line manager’s rating will be broadly similar, although a difference of 1 may be expected. If the difference in scoring is more than 1 this should be explained in Part B following discussion at the review meeting. Line managers and members of staff can amend their scoring after the review meeting and this too should be explained in Part B.

HR and E&L will calibrate self-rating and line manager’s rating of competencies during FY15/16 to review effectiveness of rating and to consider the use of multi-source feedback next year to support this aspect of the appraisal process.
**Overall assessment of performance**
At the end of the review meeting, the line manager will score the overall assessment of performance. Based on national benchmarking and knowledge of use of performance measures, the overall spread of scores throughout NHS LA (including within individual teams) is expected to reflect this spread of scoring:

<table>
<thead>
<tr>
<th>Outstanding</th>
<th>Fully satisfactory</th>
<th>Generally competent with areas for improvement (including new starters)</th>
<th>Performance being managed through capability process</th>
</tr>
</thead>
<tbody>
<tr>
<td>5-15%</td>
<td>80%</td>
<td>&lt;8%</td>
<td>&lt;2%</td>
</tr>
</tbody>
</table>

*This is not a target for spread of performance, but is presented for transparency. Individual, team and organisational results will not be adjusted or manipulated to fall in line with this anticipated curve.*

The performance levels are used to identify performance at individual, team and organisation levels. It is not used to determine pay levels.

Staff should not receive an unacceptable rating unless they are already being managed formally under the *NHS LA Capability policy* (HR11). A rating of outstanding will not be used to promote members of staff to a higher pay band but will be used in conjunction with other formal HR processes such as recruitment and selection or job evaluation. The outcome of the rating will however determine levels of training and development.

**Appeals process**
If you have any concerns about your Performance Appraisal Review meeting including your ‘overall assessment of performance rating’ then you should raise this with your line manager in the first instance. If this discussion is not able to resolve the concerns, an appeal about your overall assessment of performance rating should be made in writing to your relevant Senior Management Team member and include all the evidence initially presented and discussed with your line manager. Your appeal should be made within 10 working days of your Performance Appraisal Review meeting taking place. The Senior Management Team member will then discuss your concerns with your line manager before meeting with you to inform you of their decision on the ‘overall assessment of performance rating’ or on your area of concern.

**Performance moderation and calibration process**
HR and E&L will collate information about the spread of scoring within individual teams for performance moderation and calibration. The performance moderation process will be undertaken by line managers within specific functional teams to ensure fairness and accuracy of the ratings and objectives for the individual members of their teams. This process will be consistent across all teams and be facilitated by E&L.
A performance calibration process will follow, undertaken by Senior Management Team members, to analyse the actual spread of scoring against the expected profile of scoring outlined above. While the actual spread of scoring may be different to this, for valid reasons, where it is different to this expected profile we will review the rationale for this with heads of service in order to ensure consistency in use and fairness across the organisation. Sometimes this is easily explained, for example a team with a large number of new members of staff. The purpose of calibration is to ensure the scoring system across NHS LA is valid.

Where there may be a conflict of interest between an individual member of staff and any member of the Senior Management Team, the latter will not be involved in making any decisions about the scores of that individual or their team.

The final decision about the spread of scores will be made by members of Senior Management Team. The member of staff should raise any concerns about overall assessment with the line manager first. If this discussion if not able to resolve the concerns, appeals about the overall assessment of performance should be made to Senior Management Team and include all evidence initially presented and discussed with the line manager.
## Competencies and behaviour standards (including examples of positive behaviours)

### A. Knowing the business

<table>
<thead>
<tr>
<th>Level 1</th>
<th>Level 2</th>
<th>Level 3</th>
</tr>
</thead>
<tbody>
<tr>
<td>Understands the business and their role within it</td>
<td>Understands and shapes the business (products and services)</td>
<td>Understands, shapes and directs the business</td>
</tr>
</tbody>
</table>

**Examples of positive behaviours**

- Understands NHS LA’s vision and values
- Understands all of NHS LA’s functions and services
- Understands NHS LA’s strategic aims and direction
- Is involved in discussions about team’s work and direction
- Is committed to working in NHS LA
- Represents self as part of NHS LA

**Examples of positive behaviours**

- Contributes to making NHS LA’s vision, mission and values work and happen
- Contributes to the development of work for NHS LA and the team
- Identifies opportunities for NHS LA business development and business growth within their own team
- Contributes to the development of NHS LA’s products and services (within and outside the team) and new business ventures
- Plans and operationalises new business ventures
- Motivates others to be committed to NHS LA
- Represents self as part of NHS LA
- Represents the team in internal and external meetings

**Examples of positive behaviours**

- Contributes to achieving NHS LA’s vision and values
- Is responsible for taking forward new successful business ventures
- Writes approved business proposals and specifications
- Anticipates future market trends accurately and identifies opportunities for the NHS LA
- Manages vision and purpose for a service or the whole of NHS LA?
- Sets and executes strategy for a discrete team or function
- Represents NHS LA at a senior level externally and internally
- Identifies opportunities for NHS LA’s business development and business growth
### B. Communicating effectively

Communicates clearly and concisely both when speaking and writing to colleagues and customers

<table>
<thead>
<tr>
<th>Level 1</th>
<th>Level 2</th>
<th>Level 3</th>
</tr>
</thead>
<tbody>
<tr>
<td>Communicates relevant information clearly and concisely to others. Ensures people are given the right information</td>
<td>Communicates clearly and concisely. Adapts language and style to the audience to ensure understanding</td>
<td>Adapts language, style, tone and content to the audience to ensure understanding. Communicates technical and complex information clearly to a wide range of audiences</td>
</tr>
</tbody>
</table>

#### Examples of positive behaviours

- **Level 1**
  - Explains things clearly to members, colleagues and customers (written or orally)
  - Is polite and shows understanding
  - Responds to people with communication difficulties in a helpful way
  - Gives the right information
  - Keeps colleagues informed
  - Uses appropriate body language and tone of voice
  - Remains calm and assertive

- **Level 2**
  - Speaks clearly to colleagues and customers and engages their interest
  - Listens actively and responds politely and clearly
  - Explains difficult issues (including legal issues) clearly and understandably (written or orally)
  - Follows the organisation’s guide to style and presentation
  - Checks understanding
  - Supports arguments with lucid rationale
  - Varies communication approach depending on the situation
  - Negotiates to enable decisions on liability and value quantum
  - Follows up on customer queries and actively engages with customers to meet the needs

  For claims/case work
  - Engages or negotiates or engages to reach the right outcome for claimants/RBs and the NHS

- **Level 3**
  - Speaks clearly and authoritatively to members and stakeholders and engages their interest
  - Listens actively to complex issues and translates this into appropriate action
  - Explains complex, legal or technical issues clearly and understandably (written or orally)
  - Follows the organisation’s guide to tone, style and presentation
  - Checks understanding with all stakeholders to minimise any potential confusion
  - Negotiates and influences to engage and persuade stakeholders
  - Supports arguments with lucid rationale
  - Communicates appropriately in situations that are highly complex or sensitive
  - Builds constructive relationships with external stakeholders
  - Grows, maintains and uses networks
### C. Embracing change and being flexible

Demonstrates a positive attitude towards change and is flexible to adapt to the needs of NHS LA

<table>
<thead>
<tr>
<th>Level 1</th>
<th>Level 2</th>
<th>Level 3</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Is flexible and open to change</strong></td>
<td><strong>Is flexible and adapts to change</strong></td>
<td><strong>Is flexible and anticipates change</strong></td>
</tr>
<tr>
<td>- Open to new ways of doing things</td>
<td>- Readily adapts to changes in work, people and circumstances</td>
<td>- Acquires and/or undertakes to learn new skills and knowledge to help anticipate and take advantage of change</td>
</tr>
<tr>
<td>- Maintains performance in changing circumstances</td>
<td>- Recognises when there is a need to agree changes to personal and service objectives</td>
<td>- Keeps abreast of changes which may affect NHS LA</td>
</tr>
<tr>
<td>- Willing to change plans, ways of working and objectives to account for new circumstances</td>
<td>- Keeps abreast of changes which may affect them or their team</td>
<td>- Looks for new solutions to cope with change</td>
</tr>
<tr>
<td>- Able to offer suggestions to change ways of working</td>
<td>- Puts forward new ideas and solutions to help them and/or their team adapt</td>
<td>- Anticipates changes to NHS LA and service areas, and adapts service products and working methods accordingly</td>
</tr>
<tr>
<td>- Can work with risk and uncertainty</td>
<td>- Adapts ways of working as necessary to continue to meet objectives</td>
<td>- Accepts risk and uncertainty as normal</td>
</tr>
</tbody>
</table>

#### Examples of positive behaviours

- Open to new ways of doing things
- Maintains performance in changing circumstances
- Willing to change plans, ways of working and objectives to account for new circumstances
- Able to offer suggestions to change ways of working
- Can work with risk and uncertainty

- Readily adapts to changes in work, people and circumstances
- Recognises when there is a need to agree changes to personal and service objectives
- Keeps abreast of changes which may affect them or their team
- Puts forward new ideas and solutions to help them and/or their team adapt
- Adapts ways of working as necessary to continue to meet objectives
- Adapts policies and work plans to respond to change
- Handles risk and uncertainty comfortably
- Decides and acts appropriately on the information available, even when this is not complete
- Recognises and manages people’s concerns around the impact of change
- Implements changes within the team
- Acquires and/or undertakes to learn new skills and knowledge to help anticipate and take advantage of change
- Keeps abreast of changes which may affect NHS LA
- Looks for new solutions to cope with change
- Anticipates changes to NHS LA and service areas, and adapts service products and working methods accordingly
- Accepts risk and uncertainty as normal
- Guides others to cope effectively with change
- Creates and/or contributes to an environment that encourages people to come up with new and different/innovative ways of doing things
- Actively implements agreed changes in their sphere of influence
### D. Commercial and service development and being creative

Understands commercial drivers, develops ideas, products and services and is aware of and responds to customer needs

<table>
<thead>
<tr>
<th>Level 1</th>
<th>Level 2</th>
<th>Level 3</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Is focused on commercial developments for self</strong></td>
<td><strong>Supports commercial developments for team</strong></td>
<td><strong>Leads commercial developments for service</strong></td>
</tr>
</tbody>
</table>

#### Examples of positive behaviours

- **Level 1**
  - Generates new ideas around own job and team
  - Seeks new ways of working
  - Contributes to providing ideas of improved ways of working
  - Knows who NHS LA’s members, customers and stakeholders are
  - Gives friendly and helpful service
  - Provides customers with an excellent service
  - Answers customers’ queries in a helpful way to avoid disputes
  - Deals effectively with conflict, including angry or upset customers
  - Uses own resources effectively
  - Understands financial management relevant to role
  - Understands basic concepts of intellectual property
  - Accurately follows principles of information governance

- **Level 2**
  - Generates many new and unique ideas and implements them where appropriate
  - Searches for new and more effective methods, making connections between previously unrelated ideas
  - Is seen as value-adding in generating ideas for the team
  - Focuses team on customer service
  - Allocates and uses own resources effectively (people, budget and assets) to ensure value for money
  - Highlights issues and risks and their financial implications and mitigates them where possible
  - Manages and reports on budgets
  - Supports others to follow principles of information governance
  - Understands intellectual property and puts in place systems to support commercial developments

- **Level 3**
  - Develops and implements innovative ideas and methods of doing things to improve business performance
  - Pursues new methods and solutions and thinks outside the box
  - Connects disparate ideas
  - Motivates others to generate new ideas
  - Sets clear policies for meeting internal and external members and customers’ needs and improves stakeholder engagement
  - Anticipates changes in members and customers’ needs and plans to exceed expectations
  - Manages own budget and controls expenditure
  - Promotes and implements NHS LA policies
  - Enforces principles of information governance and intellectual property
### E. Delivering on goals

**Pursues work with enthusiasm and pushes self and others for results**

<table>
<thead>
<tr>
<th>Level 1</th>
<th>Level 2</th>
<th>Level 3</th>
</tr>
</thead>
<tbody>
<tr>
<td>Is focused on goals</td>
<td>Manages delivery of goals</td>
<td>Leads delivery of significant goals</td>
</tr>
</tbody>
</table>

#### Examples of positive behaviours

- Is a hard worker
- Responds to challenges effectively
- Completes work within agreed timeframes
- Pursues work with enthusiasm and drive
- Delivers successful outcomes
- Meets KPIs and other objectives
- Sets goals for self and pursues them to completion
- Stretches self for results
- Deals appropriately with setbacks and resistance

- Completes tasks seen as challenging
- Completes work with enthusiasm and drive while exploring other opportunities to contribute to the NHS LA’s success
- Supports others with their work
- Supports others to achieve their goals and objectives
- Keeps others on track
- Actively seeks constructive feedback
- Defines work in terms of results
- Sets objectives for the team and ensures delivery against objectives
- Delivers objectives or tasks within agreed timeframes

- Develops and successfully implements strategic objectives and plans for new projects and redirects activity on plans that aren’t working
- Has a positive work ethic that inspires others
- Plans, builds, sustains and projects momentum throughout NHS LA
- Sets the pace for productivity by inspiring the team
- Sets clear and challenging objectives and goals for self, team and organisation
- Anticipates obstacles and is prepared to implement contingency plans
- Sets and articulates high standards for self and others
## F. Developing self and others

Maximises own and colleagues’ abilities. Is resilient and emotionally responsive

<table>
<thead>
<tr>
<th>Level 1</th>
<th>Level 2</th>
<th>Level 3</th>
</tr>
</thead>
<tbody>
<tr>
<td>Aids development</td>
<td>Promotes development</td>
<td>Leads development</td>
</tr>
</tbody>
</table>

### Examples of positive behaviours

<table>
<thead>
<tr>
<th>Level 1</th>
<th>Level 2</th>
<th>Level 3</th>
</tr>
</thead>
<tbody>
<tr>
<td>Helps others by giving constructive feedback</td>
<td>Recognises and rewards good performance</td>
<td>Supports the development of a culture of learning in the organisation (for themselves and their team)</td>
</tr>
<tr>
<td>Welcomes and acts on feedback received</td>
<td>Helps others to identify development needs and prioritise their importance</td>
<td>Takes responsibility for building and sharing knowledge</td>
</tr>
<tr>
<td>Learns from mistakes, personally and for the team and changes ways of working</td>
<td>Agrees objectives and priorities with team members and identifies any areas for development</td>
<td>Develops policies and systems for promoting a culture of learning (for themselves and their team)</td>
</tr>
<tr>
<td>Keen to learn</td>
<td>Creates opportunities for people to learn</td>
<td>Is resilient and deals with complex and emotive issues</td>
</tr>
<tr>
<td>Assesses own development needs and suggests how they might be met</td>
<td>Shares knowledge and experience through coaching and mentoring.</td>
<td>Supports others to become more resilient and emotionally responsive</td>
</tr>
<tr>
<td>Actively engages to achieve learning objectives</td>
<td>Manages own personal development plan and takes active responsibility for personal learning and development</td>
<td>Takes responsibility for own personal development</td>
</tr>
<tr>
<td>Manages own personal development plan and takes responsibility for personal learning and development</td>
<td>Is resilient and able to deal with emotional issues</td>
<td>Takes responsibility for the development of the team</td>
</tr>
<tr>
<td>Takes steps to become more resilient</td>
<td>Values others and actively promotes diversity and inclusion</td>
<td>Recognises and takes action to promote diversity and inclusion across the organisation</td>
</tr>
<tr>
<td>Respects others and demonstrates commitment to principles of diversity and inclusion</td>
<td>Constantly takes steps to develop themselves</td>
<td>Seeks to understand the motivations of their staff</td>
</tr>
<tr>
<td>Demonstrates consistency and fairness in their handling of people and situations</td>
<td>Reflects and draws lessons from experience</td>
<td>Gives regular feedback on performance which leads to performance improvement</td>
</tr>
<tr>
<td>Identifies learning needs</td>
<td>Seeks feedback regularly from their line manager and others</td>
<td>Seeks feedback regularly</td>
</tr>
</tbody>
</table>
## G. Leadership and integrity

Maximises own and colleagues’ leadership skills. Has and fosters integrity

<table>
<thead>
<tr>
<th>Level 1</th>
<th>Level 2</th>
<th>Level 3</th>
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</thead>
<tbody>
<tr>
<td>Leads self and has integrity</td>
<td>Leads others and supports integrity</td>
<td>Fosters leadership and integrity</td>
</tr>
</tbody>
</table>

**Examples of positive behaviours**

- Delivers on promises and commitments
- Behaves in line with NHS LA’s values
- Leads by example
- Behaves with integrity
- Understands and values the importance of trust

**Examples of positive behaviours**

- Models NHS LA’s values
- Appropriately challenges and manages poor performance quickly and constructively
- Helps people articulate services/projects/issues in a way that helps people understand how they affect them and in order to support others
- Develops an environment of trust
- Raises objections and criticisms constructively
- Actively develops own leadership skills

**Examples of positive behaviours**

- Develops and delivers services in line with NHS LA’s values and consistently role models them
- Contributes to create an environment of trust and respect
- Shows willingness to appropriately raise difficult issues
- Accepts mistakes without assigning blame and encourages useful learning points
- Supports others to develop their understanding of wider strategic issues and the impact these may have on NHS LA
- Fosters and develops leadership skills in others
- Recognises and seeks to develop talent, skills and contributions of others regardless of their role
- Challenges and supports team members constructively to take responsibility for managing their own areas
- Confronts and manages poor performance quickly and constructively
### H. Team work

<table>
<thead>
<tr>
<th></th>
<th>Level 1</th>
<th>Level 2</th>
<th>Level 3</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Participates in team work</td>
<td>Encourages team activities</td>
<td>Develops the effectiveness of the team</td>
</tr>
<tr>
<td><strong>Examples of positive behaviours</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>- Shares information and ideas which improve/promote the NHS LA</td>
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<tr>
<td>- Shares opinions on how to improve the operation of the team</td>
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<tr>
<td>- Supports colleagues across NHS LA to resolve problems</td>
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<tr>
<td>- Creates and maintains good working relationships within and outside the team</td>
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<td></td>
</tr>
<tr>
<td><strong>Examples of positive behaviours</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>- Actively supports team effectiveness</td>
<td></td>
<td></td>
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<tr>
<td>- Encourages and contributes to the exchange of ideas and views within the team and across NHS LA</td>
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<tr>
<td>- Demonstrates behaviour in line with the NHS LA's values and actively promotes these across the team and organisation</td>
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<td></td>
<td></td>
</tr>
<tr>
<td>- Establishes and maintains good working relationships between team members and across NHS LA</td>
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<td></td>
<td></td>
</tr>
<tr>
<td><strong>Examples of positive behaviours</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>- Takes a leading role in maintaining and developing effective relationships across the NHS LA</td>
<td></td>
<td></td>
<td></td>
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<tr>
<td>- Creates trust and respect between team members and across NHS LA</td>
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<tr>
<td>- Promotes and contributes to collaborative working between team members, including those with differing interests</td>
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<tr>
<td>- Develops cooperation with other teams and across the NHS LA actively breaking down silo working</td>
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<tr>
<td>- Represents the NHS LA positively within the wider NHS</td>
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</table>
## I. Analysis and judgement skills

Identifies, understands, analyses and judges information and situations to formulate solutions and make recommendations

<table>
<thead>
<tr>
<th>Level 1</th>
<th>Level 2</th>
<th>Level 3</th>
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</thead>
<tbody>
<tr>
<td>Uses information within own work</td>
<td>Uses information within work of the team</td>
<td>Uses information to support NHS LA’s aims</td>
</tr>
</tbody>
</table>

**Examples of positive behaviours**

**For own work:**
- Gathers and interprets data
- Analyses information to identify the key issues
- Understands and solves problems
- Presents considered options for resolving concerns
- Tests and assesses ideas

**Examples of positive behaviours**

**For own work and the work of the wider team:**
- Gathers and interprets complex data
- Tests and assesses ideas which improve working practices

**Examples of positive behaviours**

**For claims/case work:**
- Demonstrates understanding of the law and wider legal
- Identifies key issues
- Uses legal procedures and processes to obtain the best result
- Analyses evidence
- Evaluate and weighs evidence to decide on correct priorities or solutions
- Describes the rationale for decisions
- Seeks advice appropriately and acts on this

**For own work, the work of the team and the work of NHS LA:**
- Identifies issues and underlying causes
- Understands and solves problems
- Presents considered options for resolving problems or concerns
- Gathers data and interprets complex and multi-faceted data
- Tests and assesses ideas
## J. Planning and organising

Plans, organises and delivers activities, projects and statutory corporate standards

<table>
<thead>
<tr>
<th>Level 1</th>
<th>Level 2</th>
<th>Level 3</th>
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</thead>
<tbody>
<tr>
<td>Organises own work</td>
<td>Plans ahead for the work of others</td>
<td>Plans for the business</td>
</tr>
</tbody>
</table>

### Examples of positive behaviours

**Level 1**
- Sets SMART goals for self
- Organises own work so that tasks are completed on time
- Works systematically
- Work is orderly, accurate and up-to-date and completed on time
- Prioritises workload effectively
- Understands the consequences of not delivering tasks
- Participates in planning groups or teams to efficiently coordinate efforts
- Follows relevant policies or procedures

**Level 2**
- Schedules work, allocates responsibilities and resources
- Sets stretching, measurable and achievable targets and deadlines for self and others
- Integrates plans and ways of working to fit with those of others (within the team and across NHS LA)
- Develops project plans, sets appropriate timelines and milestones and delivers on time
- Manages several (sometimes competing) priorities at the same time
- Prioritises appropriately
- Reviews major tasks when completed to enhance future planning and share learning
- Operates within an agreed budget
- Manages workload/caseload appropriately, within tight deadlines
- Complies with NHS LA’s policies, procedures and guidance

**Level 3**
- Develops detailed, structured business plans
- Adjusts plans to meet changing needs
- Translates NHS LA’s strategic aims into actionable plans
- Determines and secures the resources required to achieve core and new business objectives
- Co-ordinates activities across business areas
- Effectively manages several complex activities at the same time
- Monitors delivery of plans against strategic objectives
- Determines and agrees budget for implementing policies
- Makes sure policies are implemented correctly
- Actively promotes compliance with the NHS LA’s policies, procedures and guidance
Personal development plan

NHS LA:
- Is a learning organisation by building and sharing knowledge, learning from success and failure and taking responsibility for personal development
- Believes that people are one of the keys to organisational success
- Recognises the value of its entire staff and is fully committed to the development of staff and maximising each individual's potential
- Is committed to providing all staff with the training and development they need to contribute to the achievement of NHS LA's strategic aims.

When considering how learning and development needs will be met, consideration should be given to the various learning and development methods available, including:
- Discussions with subject experts
- Mentoring
- Work experience or secondments
- Training courses (internal and external)
- Peer group contacts
- Peer review/case review and case discussions
- Community involvement
- Involvement with other aspects of NHS LA work
- Work shadowing
- Coaching
- On the job training
- Private reading/teaching
- Team meetings
- Learning lunches

An example of a useful item for the PDP is below:

<table>
<thead>
<tr>
<th>Development aim. What do I need to learn/develop?</th>
<th>What will I do to achieve this?</th>
<th>What resources or support do I need?</th>
<th>How will I know when this has been achieved?</th>
<th>Target dates for completion?</th>
</tr>
</thead>
<tbody>
<tr>
<td>Example Increase my understanding of the Mitchell case</td>
<td>Example Attend technical training update meetings.</td>
<td>Example Time to attend meetings/training events</td>
<td>Example Able to apply knowledge of Mitchell to my own cases</td>
<td>Example 3 months’ time (December 2015)</td>
</tr>
</tbody>
</table>
A copy of each individual’s PDP will be sent to E&L by HR. This information will then be collated to identify and prioritise learning and training needs throughout NHS LA, so that common needs can be grouped together and activities scheduled according to organisational and departmental priorities. Any specific training interventions identified and recommended which require significant budget or time out of the office (e.g. attending a training course, participating in work shadowing) will require authorisation from the relevant budget manager and should not be committed to without discussion with E&L. Learning logs, to record learning and development activities in FY15/16 will be provided to members of staff in the Summer.

3. Sign-offs and timings of the appraisal in FY15/16

The appraisal paperwork should be signed off by the individual and the line manager. The line manager should aim to complete their section within one week of the appraisal meeting. This year, there is no requirement for appraisals to be seen or signed-off by a member of the Senior Management Team but if this is requested by an individual we will try to accommodate this. This system of “grandparenting” will be considered for the next appraisal year.

**All appraisals reviewing the period up until June 2015 should be completed by the end of September 2015.** A copy of the finalised appraisal paperwork should be sent to the individual and HR (to be added to the member of staff’s personnel file) and a copy of the PDP table will be sent to E&L from HR.

Next year we are aiming to launch the new paperwork in April 2016 so reviews of performance in FY15/16 and setting of objectives for FY16/17 can be undertaken between April and June 2016, in line with the setting of team and organisational business objectives as part of the business planning process.

We very much welcome your comments on the design and usability of this framework. And don’t forget that if you have any queries on any aspect of the appraisal process please speak with anyone in NHS LA Learning & Development or HR (Vicky, Sheetal, Steve, Harp, Dee or Mary) or education@nhsla.com

The new appraisal framework will be evaluated formally during FY15/16 and improvements made to the framework for next year.