

Performance & Development Framework

Managers Guidance





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Benefits

PDR gives you the opportunity to:

- spend time with individuals to discuss their roles, development, achievements and contributions.
- take the opportunity to discuss the individual's overall wellbeing and 'happiness' in the workplace.
- recognise achievements, contributions and review the impact of development through constructive conversations.
- prioritise and plan development needs for the individual and the department.
- ensure that your team members and reports understand agreed goals and aspirations that collectively contribute to the aims of the ICB.
- hear feedback and generate suggestions for enhancing the work of the individual or team.

Performance and Development Framework



Planning & Preparation (April – June)

Agree a date and time for the review meeting, allowing enough time for preparation (usually minimum of 2 weeks) and a time for the meeting.

Ensure the employee has the appropriate form to complete and has the opportunity to ask any questions. Sections 1-5 of the form must be completed before the meeting.

Book an appropriate room for the conversation and somewhere you are less likely to get interruptions.

Ensure you are familiar with the individual's job description and the ICB's five-year plan, strategic objectives and values.

Obtain statutory and mandatory training status from ESR.

Confirm whether or not the increment step within the year will result in a pay increase.

Where the employee is matrix-managed, seek feedback from the other manager(s) to ensure they can contribute both to feedback on performance and also setting objectives.

Review your own objectives set for the year to see which can be cascaded down to individuals in your team.

Consider future work goals for the individual, seeking input from more senior managers and individuals as necessary to predict future requirements and changes.

Review the previous year's documentation and consider their development, achievement and contributions of this time.

Think through the feedback you wish to give to your staff member including examples and consider any potential challenges and how you might handle them.

Don't raise any major concerns with the individual during the PDR if these have not previously been discussed. If an issue or concern arises close to the date and time of the meeting it may be appropriate to reschedule the meeting whilst the issue is addressed.

Consider any health and wellbeing issues you may wish to discuss with the staff member – you may wish to start by asking the employee if they have any concerns or issues, they would like to discuss with you.

Complete your part of the PDR documentation (sections 3 and 4) as appropriate.

Review Meeting – April – June

SECTION 1 - 7 OF THE TEMPLATE

Please remember the quality of the review meeting is based on the quality of the conversation, use a coaching style approach to the conversation and don't get 'hung up' on completing the form.

▸ The GROW model for performance coaching

Structuring a performance coaching session is key to its effectiveness and practical use of time.

The GROW model is one of the most common coaching models.

The framework provides a simple four-step structure to follow. This is highlighted in the diagram below.




Support the employee to engage in a two-way conversation.

Wellbeing Conversation – April - June

SECTION 2 OF THE TEMPLATE

What is a wellbeing conversation?

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- Health and wellbeing conversations are intended to **be regular, supportive, coaching-style one-to-one conversations** focused on looking after the wellbeing of all our diverse ICB people.
 - **They should consider the whole wellbeing of an individual** (e.g. physical, mental, emotional, social, financial, lifestyle, safety) and identify areas where the individual may need support, signpost them to that support, and regularly monitor their wellbeing over time.
 - By encouraging to embed wellbeing conversations across the organisation, we aim to create a culture where colleagues feel heard and valued, and in which diversity is respected. This should, in turn, encourage us all to **pass care and compassion on to each other, to patients and to our families.**

Who should hold the conversation?

In most cases, a health and wellbeing conversation will be held by a line manager or supervisor, but in some instances, colleagues may feel more comfortable talking to another trusted colleague about their wellbeing.

Whilst the main intention is for line managers to hold wellbeing conversations with their colleagues, we would encourage everyone within the team to support one another by regularly checking in.

When should I approach a wellbeing conversation?

Health and wellbeing should be regularly discussed in teams and line management relationships. Health and wellbeing conversations can be incorporated into existing conversations or may be implemented as a stand-alone discussion, some examples include:

- Regular 1:1s and staff check-ins.
- job planning discussions.
- Stand-alone wellbeing conversations.
- Team meetings or shift handover.
- Team days.

How should I approach a wellbeing conversation?

Whether it's taking place in person or virtually - hold a wellbeing conversation in a confidential and safe space.

A great way to start the conversation is by simply asking 'how are you?' and allowing time to respond. Actively listen to the response and allow the conversation to flow. Where needed, follow

up with open questions such as “is there any support that you need?” that allow your colleague to share further details they are comfortable with.

Good practice for wellbeing conversations?

Wellbeing conversation are:

- ✓ **Caring and compassionate** – they give space to enable employees to holistically explore their wellbeing.
- ✓ **Employee led** – they enable the employee to lead the conversation and focus on the most important things to them.
- ✓ **Supportive** – they signpost employees to the most appropriate support.
- ✓ **On-going and dynamic** – wellbeing changes over time, therefore these conversations should be held regularly.
- ✓ **Inclusive** – every NHS employee should have ongoing supportive conversations that enable their unique and diverse personal wellbeing needs to be met.

Wellbeing conversation are not:

- ✗ **Therapeutic interventions** – employees should, where necessary, be signposted to access appropriate support from trained professionals.
- ✗ **Judgemental or performance related** – wellbeing conversations should not be used for performance management or as a way of judging the quality of someone’s work.
- ✗ **A formal risk assessment** – all NHS colleagues should be invited to complete a risk assessment at their place of work. A wellbeing conversation does not replace this requirement.

Review of last years objectives

SECTION 3 OF THE TEMPLATE

Ahead of the meeting you will have both given your views on the extent to which the employee has met last years objectives.

If the employee started less than 6 months ago use the objectives from their probation review.


State your assessment constructively.

Listen to the ideas and views of the employee and try to incorporate these into the review of past performance and the setting of future objectives wherever possible.

Give clear reasons for the rating of their past year’s performance.

Review of values and behaviours

SECTION 4 OF THE TEMPLATE



Ahead of the meeting you will have both given your views on the extent to which the employee demonstrates our values and behaviours.

State your assessment constructively.

Listen to the ideas and views of the employee, remember there may be differences in perception and observation, this is not only normal but adds value to the conversation.

Give clear examples where the individual has displayed our values and behaviours.

Career Conversations – April – June

SECTION 5 OF THE TEMPLATE

What is a career conversation?

This is a conversation designed to support employees reflect on and discuss where they are at a given point within their career. By embedding career conversations within the organisation, we aim to create a culture where colleagues feel consistently supported in their development and growth. It can also help understand what the key levers are for our employees in their careers to help retain them for longer.

It is important to understand that when reflecting on someone's career and their journey, there are multiple options they may be considering, besides promotion. This could include a sideways move, stepping down into a less senior role, or secondments to an entirely different area or organisation.

Who should hold the conversation?

In most cases, a career conversation should be held by a line manager or supervisor. It may also be suitable for a career conversation to be held with a member of the Human Resources or Workforce team.

When should I approach a career conversation?

Whilst a 'Career Conversation' will form part of the PDR process and should occur between April and June of each year, elements of a career conversation, such as an employee's development, should be regularly discussed during supervision. A 'stand-alone' career conversation may also be useful if an employee has expressed a desire to leave or has applied, or is applying for, other roles both within the ICB or elsewhere.

Objective Setting – April – June

SECTION 6 OF THE TEMPLATE

Performance objectives will be stretch objectives, stretch objectives are purposefully ambitious and should challenge individuals outside of their comfort zone and outside of the requirements of the job description. In addition to the requirements of the job description, these will be cascaded down from CEO objectives to Chief Officer objectives to Directorate Plans and then team / individual objectives. This is important so every member of the ICB understands their role and contribution to achieving the goals of the ICS.

For existing staff, the appraisal setting meeting will happen between April – June each year.

For new starters the appraisal setting meeting will happen as part of their induction and probationary period, using information gathered during the recruitment selection process to discuss any gaps in skills, knowledge, or experience.

Drafting objectives is a core element of the PDR. Objectives are developed and agreed so that the reviewer and the reviewee have a shared understanding of the key focus of work and results which need to be achieved moving forward.

Objective setting enables discussion and agreement of objectives for the coming PDR year.

Development and learning needs can be met by using a wide variety of activities, such as work shadowing, mentoring or special projects.

Consider our values when setting objectives to see how you can incorporate these into a performance objective, showing individual actions to bring our values and behaviours to life.



Aim to set SMART objectives (definition below) that are consistent with the aims and values of the ICB which should be expressed in positive language and start with an action to ensure they are focussed on something that can be subsequently measured.

Specific	The action, behaviour or outcome must be linked to a rate, number, percentage or frequency. If it isn't specific a subjective judgement will be made about whether the outcome has been achieved.
Measurable	You must be able to measure the extent to which an objective has been achieved. If you've linked the objective to a rate, number, percentage or frequency this will be easier.
Achievable	Can the objective be achieved with a reasonable amount of effort and application? Deciding what constitutes a realistic amount of effort and application calls for a subjective judgement to be made, which is one reason why objectives must be mutually agreed and not set.
Relevant	The outcome sought can be something that the individual can actually impact upon. Does the individual have the necessary knowledge, skills and authority to complete this objective?
Time based	Is there a realistic timeframe within which the objective should be undertaken?

Summary of Performance

SECTION 7 OF THE TEMPLATE

This is where you summarise the feedback for the employee on their performance and development for the previous year.

Seek to ensure that the employee has understood and agrees with the objectives set for the year ahead.

You are required to provide an overall rating of 1-5, there is a guide for each of the ratings.

Rate	Performance description	Performance level
5	Overall, performance is exceptional	Appraisee has exceeded all expectations and demonstrated exceptional performance throughout the year, achieved something of specific significance throughout the performance year and has made a significant contribution to the business/service area
4	Overall, performance exceeds expectations	Appraisee has demonstrated an excellent level of performance overall with a consistently high level of performance; exceeded in the majority of performance objectives and demonstrated the required behaviours; demonstrated an eagerness to develop both themselves and those around them and has examples of where they have succeeded in some areas.
3	Overall, performance meets expectations	Appraisee has made a valuable contribution and has consistently achieved their objectives; demonstrated a good level of performance overall with all objectives and the behaviours demonstrated and may have exceeded in some areas; demonstrated a willingness to develop themselves and those around them
2	Overall, performance partially meets expectations	Appraisee has met some performance objectives and demonstrated some behaviours but has fallen short in some areas; achieved nearly all objectives and the behaviours will have been achieved but there is inconsistency in performance; made a contribution but need to develop further.
1	Overall, performance does not meet expectations	Appraisee has failed to achieve many or all of their objectives; demonstrated an unsatisfactory level of performance; behaved or acted in a manner that is inconsistent with the values and behaviours; demonstrated a limited desire to develop themselves or those around them. In this case a performance improvement plan should be put in place.

Confirm with the employee that they understand whether or not achieving their increment step within the year will result in a pay increase (and, where it does not, discuss how they can support the member of staff to remain motivated).

Encourage the employee to ask questions if they are not clear about something.

If there are any disagreements between you and the employees scores you should aim to resolve the difference of opinion during the review without the need to enter into any formal processes. Again the PDR process should be 'no surprises' and therefore any concerns about performance or behaviour should have already been discussed and documented in previous 1:1's. If a disagreement cannot be resolved via informal means the employee may use the Resolution Policy.

The employee will be required to add their comments and sign the template at this stage.

As much of the paperwork should be completed at the time of the review.

All paperwork should be completed by and signed off no later than 14 days after the meeting.

It should be signed by both the manager and the individual as a commitment to the performance development review and then sent onto your manager for final sign off and then placed on the employee's personal file.

Senior Manager review and sign off.

Provide your line manager with the forms for your team.

Record the outcome on ESR and save the PDR on your local employee file.

Below is a step by step guide for inputting the appraisal onto ESR. *Please note if the individual is subject to pay progression for that year there is a different process which is shown at the end of this guidance.*

Guidance to record a 'non pay progression appraisal on ESR'.



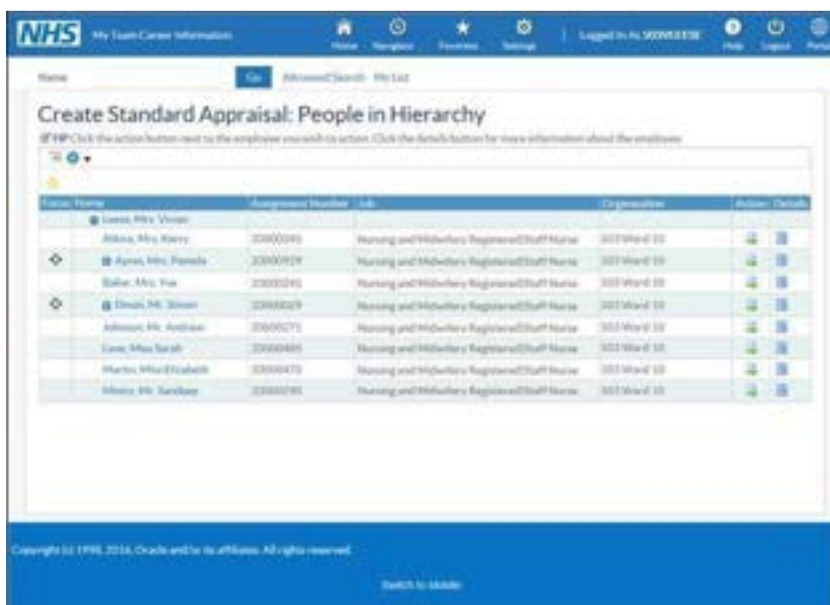
Once you have clicked onto the Appraisals link within your home page on Manager/Supervisor Self Service you will be taken to the IN PROGRESS section of the appraisals

The screenshot displays the 'Appraisals and Reviews As Main Appraiser' section. It includes a table of 'Appraisals and Reviews In Progress' with the following data:

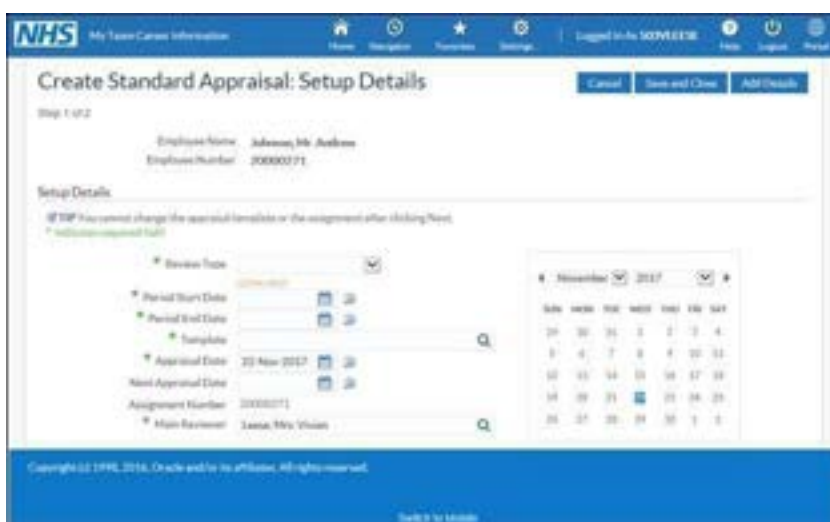
Appraisal	Appraiser	Appraisal Date	Appraisal Status	Appraisal Purpose	Plan Participation Status	Period Start Date	Period End Date	Action
<input type="checkbox"/>	Miss Mrs Jackson	22 Nov 2017	Ongoing with Main Appraiser	MC Development Review	Open	01 Nov 2016	31 Oct 2017	GO

Click **GO** against Standard Appraisal

Select the person you wish to enter information for by clicking on the **ACTION** button next to their name



The appraisal form will open – Example of what to enter within each field is shown below



Review Type **PERFORMANCE APPRAISAL**

Period Start Date **ENTER DATE**

Period End Date **ENTER DATE**

Template Click the magnifying glass – when the form opens **CLICK GO**.

The templates will show

Please click **PERFORMANCE REVIEW (PDR)**

Appraisal Date **28 APRIL 2017** (The same date as the period end date)

Next Appraisal Date **28 APRIL 2018** (**The following year as a guide but will also send a notification to the employee and manager 3 months and 1 month before it is next due**)

Check the Appraiser is correct – if not click onto the magnifying glass, take out your name and search by surname of the person who undertook the appraisal

Click **ADD DETAILS**

Go to **COMPLETE QUESTIONNAIRE** (**this is if you have a questionnaire template**)

Click **SAVE AND PROCEED**

Click **COMPLETE APPRAISAL**

Click **CONTINUE**

Click **SUBMIT**

Click **Yes** to complete - you will be returned to the IN-PROGRESS SECTION.

Don't worry the saved appraisal will be in the COMPLETED SECTION at the top of the screen

Guidance to record a 'pay progression appraisal on ESR'.



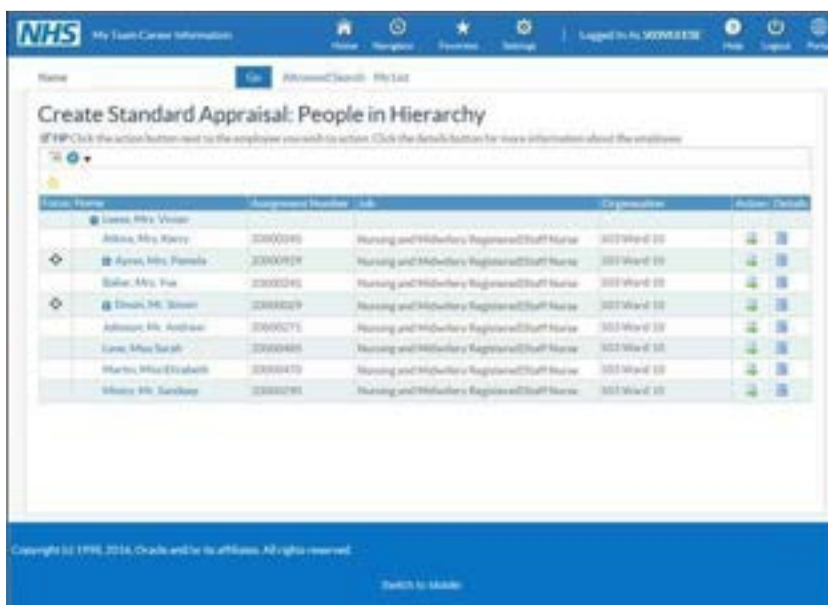
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The screenshot shows the 'Appraisals and Reviews As Main Appraiser' section. It includes a table with the following data:

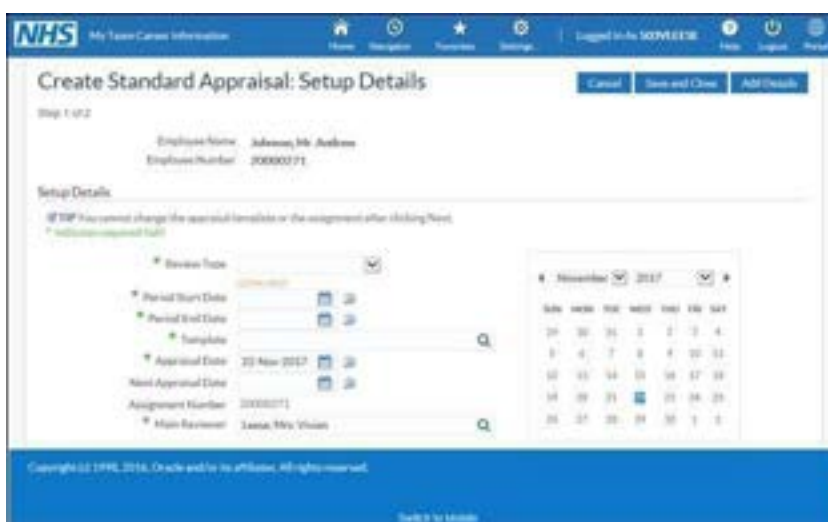
Appraisal Status	Appraisal Title	Appraisal Status	Plan Participation Status	Period Start Date	Period End Date	Action
In Progress	Appraisal for Mr. Smith	Appraisal Status	Plan Participation Status	01 Nov 2016	31 Oct 2017	Action

Click **GO** against Standard Appraisal

Select the person you wish to enter information for by clicking on the **ACTION** button next to their name



The appraisal form will open – Example of what to enter within each field is shown below



Review Type **PAY PROGRESSION MEETING**

Period Start Date ENTER DATE

Period End Date ENTER DATE

Template Click the magnifying glass – when the form opens **CLICK GO**.

The templates will show

Please click **PAY PROGRESSION MEETING**

Appraisal Date ENTER DATE

Next Appraisal Date **ENTER DATE IN 12 MONTHS TIME (The following year as a guide but will also send a notification to the employee and manager 3 months and 1 month before it is next due)**

Check the Appraiser is correct – if not click onto the magnifying glass, take out your name and search by surname of the person who undertook the appraisal

Click **ADD DETAILS**

Go to **COMPLETE QUESTIONNAIRE**

There are 3 sections to complete (Employee summary, Manager summary, Employee action plan)



Click **APPLY**

Click the dropdown arrow next to **'Overall Rating'**

The following options are available:

Yes - The appraisee progresses on to the next incremental point. There is no change to the existing process and no further action is required.

No - The appraisee does not progress on to the next incremental point. No further incremental progression will be possible without intervention. A notification is sent to the AfC Increment Deferral role holder to advise.

We do not use the pay reduction field.

The reason will need to be selected for not allowing the pay progression

Click **SAVE AND PROCEED**

Click **SUMIT** to **COMPLETE APPRAISAL**

Click **CONTINUE**

Click **SUBMIT**

Click **Yes** to complete - you will be returned to the IN-PROGRESS SECTION.

Don't worry the saved appraisal will be in the **COMPLETED SECTION** at the top of the screen

Ongoing review and feedback

Provide the individual with the necessary support and appropriate resources to access agreed development.

Arrange for regular 1:1 meetings throughout the year to discuss progress and to allow for a continual dialogue around performance, progress and development. Regular, on-going discussion, coaching, feedback and review of performance and skill development are by far the most important aspects of the whole process.

Throughout the appraisal cycle in-time feedback will be provided on performance and values/behaviours using the AID model we have introduced as part of the ODP programme. There should be no surprises at the mid-year or full year review.

A supervision template is available as a guide to hold regular 1:1 meeting.

Model for giving feedback

AID

The framework that provides a simple structure for giving feedback is the AID model, which breaks feedback into three simple stages:

Actions:	The things that someone has said or done well or poorly – sometimes called the "process".
Impact:	What impact or effect it had on me/your colleague/the task/the team – sometimes called the "end result".
Desired action:	The things that someone could do to achieve a positive outcome/result, the things someone could do to improve performance.

Examples of things you could say are:



Mid-Year Formal Review – October – December

SECTION 8 OF THE TEMPLATE

The mid-year review is an opportunity to review progress against the performance objectives, values, and the development plan.

The review meeting is another opportunity for a coaching style conversation to understand how the individual is getting on at work and to have a wellbeing conversation.



At this stage there may be further additions or updates to the development plan.

You can use the opportunity of this formal meeting to have a further wellbeing or career conversation if that would be helpful to the employee.