

POL79 Development Appraisal Policy and Procedure

Serendipity Healthcare Ltd
Unit 5 Millennium Way, Dunston, Chesterfield, Derbyshire, S41 8ND



1. Purpose

1.1 To ensure that all staff are aware of the process for appraisals.

1.2 To provide information so that all at Serendipity Healthcare Ltd understand the reasons underpinning appraisals, and the importance of them for the development of staff and business continuity.

1.3 To support Serendipity Healthcare Ltd in meeting the following Key Lines of Enquiry:

Key Question

Key Lines of Enquiry

EFFECTIVE	E2: How does the service make sure that staff have the skills, knowledge, and experience to deliver effective care and support?
RESPONSIVE	R2: How are people's concerns and complaints listened and responded to and used to improve the quality of care?
WELL-LED	W2: Does the governance framework ensure that responsibilities are clear, and that quality performance, risks and regulatory requirements are understood and managed?

1.4 To meet the legal requirements of the regulated activities that Serendipity Healthcare Ltd is registered to provide:

- Ⓞ The Care Act 2014
- Ⓞ Employment Rights Act 1996
- Ⓞ Equality Act 2010
- Ⓞ The Health and Social Care Act 2008 (Regulated Activities) Regulations 2014
- Ⓞ Health and Safety at Work etc. Act 1974
- Ⓞ Human Rights Act 1998
- Ⓞ Management of Health and Safety at Work Regulations 1999
- Ⓞ The Health and Social Care Act 2008 (Regulated Activities) (Amendment) Regulations 2012

2. Scope

2.1 The following roles may be affected by this policy:

- Ⓞ All staff

2.2 The following Service Users may be affected by this policy:

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- ⓪ Service Users

2.3 The following stakeholders may be affected by this policy:

- ⓪ Family
- ⓪ Advocates
- ⓪ Representatives
- ⓪ Commissioners
- ⓪ External health professionals
- ⓪ Local Authority

3. Objectives

3.1 To ensure that all staff have a clear understanding of the objectives for the year and the direction of the business.

3.2 To ensure a structured opportunity for two-way communication between the appraiser and appraisee on past and future performance and the support required to meet objectives.

3.3 To assist employees in performing their jobs to the best of their abilities, maximising their levels of job satisfaction and their contributions to the objectives of Serendipity Healthcare Ltd.

3.4 To identify the individual employee's training and development needs that are required to meet the goals of Serendipity Healthcare Ltd.

3.5 To highlight the potential for each individual employee to develop within their current position, or into another.

3.6 To ensure that employees are aware of the contribution they make to the achievement of the objectives of Serendipity Healthcare Ltd.

4. Policy

4.1 Serendipity Healthcare Ltd recognises that a well-functioning appraisal system is fundamental in creating a quality service for Service Users, ensuring that staff are supported to reach their potential and meet business objectives.

4.2 Serendipity Healthcare Ltd will ensure that each individual employee will be formally appraised annually.

4.3 Appraisers will be personnel who are up-to-date knowledge and training in the appraisal process.

4.4 Serendipity Healthcare Ltd supports a culture of learning and development and will use the appraisal as an opportunity to explore each individual's needs.

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4.5 During the appraisal, a written document will be produced which will highlight the salient points discussed. This document can then be used as a working document and referred to throughout the year.

4.6 Regular supervision throughout the year will support the appraisal process.

4.7 As a partner in the appraisal process, the employee being appraised will be able to contribute fully to the process.

4.8 Personal appraisal documentation must be stored in the individual employee's personnel file and be subject to the normal security and privacy measures applying to that file.

4.9 The appraisal system at Serendipity Healthcare Ltd will be reviewed and evaluated as part of quality assurance to ensure that it is an efficient and effective system meeting both business requirements and the needs of employees.

5. Procedure

5.1 Training for Appraisals

- ⑨ Training or coaching will be provided to all appraisers prior to conducting their first appraisal interview and refreshed as identified in their appraisal
- ⑨ Serendipity Healthcare Ltd staff should not conduct appraisals without the appropriate training
- ⑨ This policy will be disseminated by Serendipity Healthcare Ltd to all staff to ensure that they understand its policy on appraisals

5.2 Schedule for Appraisals

- ⑨ Annual appraisals are scheduled in advance of the appraisal renewal date and in an agreement with all parties involved.

5.3 Responsibilities for Appraisal

- ⑨ All appraisal for care staff will be undertaken by the HR team.
- ⑨ All appraisal for office staff will be undertaken by the HR Manager unless specified otherwise.
- ⑨ Where this is not possible (such as in terms of long-term sickness or a temporary gap in management), an equivalent manager will conduct the appraisal ensuring that they have read and digested the appropriate information.

5.4 New Employees

New employees will be appraised in their thirteenth week of

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employment, and there after on an annual basis that coincides with the overall schedule.

5.5 Prior to the Appraisal

Prior to appraisal, and with as much notice as possible, appraisers should inform the appraisee that their interview is due and give them the Appraisal Preparation Form together with the current Job Description and task list (if any).

The appraisee should be shown the Appraisal Form to ensure that they are aware of the types of questions they will be asked and can prepare for them. The appraiser will gather appropriate information relevant to the performance review, such as:

- ④ Supervision records
- ④ Line managers, or other managers' opinions
- ④ Training records
- ④ Service User feedback
- ④ Co-worker feedback
- ④ Any additional evidence

Feedback from Service Users and co-workers will be generalised unless specific situations require greater detail. In these cases, the Registered Manager should be consulted, and consent sought from the individuals. As the appraisal proceeds, any matters requiring action must be listed on the Action Plan located at the end of this policy, noting all agreed actions, together with agreed resources and target dates.

5.6 Appraisal

- ④ The appraisal interview should take place in private, in comfortable surroundings with no distractions, and not overlooked by other people. Where possible this will be carried out face to face. However, telephone appraisals can be undertaken. Arrangements will have been made to ensure that there are no interruptions
- ④ Salient points should be recorded by the Appraiser of the meeting working through the forms
- ④ Any matters requiring action must be listed on the Action Plan located at the end of this policy, noting all agreed actions, together with agreed resources and target dates
- ④ Any reasonable adjustments that the person being appraised has in place and which may be needed for the meeting should be in place

5.7 After the Appraisal

Appraisal forms will be completed by the appraiser during the interview. The Appraisee will review, agree, and sign the form.

- ④ Those being appraised must be given the opportunity to read the Appraisal Form, ask any questions and check for factual accuracy before signing

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- Ⓢ A copy of the completed Appraisal Form should be given to the appraisee

5.8 Any items on the Action Plan requiring the actions of others, or for others to be informed, should be added to the appropriate individual's Action Plan or the general Action Plan.

5.9 Ongoing Purpose of Appraisal

The completed Appraisal Form and Action Plan must be viewed as working documents and, as such, be continually referred to and reviewed throughout the year.

The next annual review provides a final point to review the year's objectives and actions.

5.10 Progress against the Action Plan should be reviewed by the appraisee and their line manager at each supervision following the appraisal, and at other performance review meetings.

6. Definitions

6.1 Supervision

- Ⓢ Supervision is the regular contact between a supervisor and a social care worker in which to monitor and reflect on practice; review and prioritise work with individuals; provide guidance and support and identify areas of work that need development.

6.2 Appraisal

- Ⓢ Appraisal is a more formal process (than supervision), involving the review of a social care worker's performance and improvement over a period of time, usually annually. It includes evaluation of goals and objectives; evaluation of job role; identifying positive performance; identifying areas for improvement and identifying and planning how development needs will be met.

6.3 Objectives

- Ⓢ Objectives are the tangible things an employee needs to achieve. Within appraisal, this may be over a year, or at a staggered pace within the year

Objectives should be SMART:

- Ⓢ Specific
- Ⓢ Measurable
- Ⓢ Agreed
- Ⓢ Realistic
- Ⓢ Time-related

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Last Reviewed – 31st January 2022

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