Staff Appraisal Policy

2019 - 2022

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Title	Staff Appraisal Policy				
Amendments	Versions 1.1 - 1.4 contained minor updates.				
Purpose	This document outlines the annual appraisal process, details how appraisals impact incremental pay progression and highlights the links to other policies where appropriate.				
Superseded Documents	Pay Progression and Gateway Policy; Appraisal Policy				
Audience	All staff in the six Nottinghamshire CCGs				
Consulted with	Trade Unions and Staff Engagement Group				
Equality Impact Assessment	July 2019				
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This is a controlled document and whilst this policy may be printed, the electronic version available on the CCGs' document management system is the only true copy. As a controlled document, this document should not be saved onto local or network drives.					

Nottingham and Nottinghamshire CCGs' policies can be made available on request in a range of languages, large print, Braille, audio, electronic and other accessible formats from the Engagement and Communications Team at ncccg.team.communications@nhs.net

Contents

1. Introduction and Purpose of Policy and Procedure

1.1.   NHS Nottingham City CCG, NHS Nottingham West CCG, NHS Nottingham North and East CCG, NHS Rushcliffe CCG, NHS Mansfield and Ashfield CCG and NHS Newark and Sherwood CCG (hereafter referred to as 'the CCGs') recognise the need to have a robust and transparent appraisal process to ensure the development needs of our employees, line managers and the organisation is being met.

1.2.   This document outlines the annual appraisal process, details how appraisals impact incremental pay progression and highlights the links to other policies where appropriate.

1.3.   Performance management, annual and six monthly appraisals and ongoing work reviews are essential to ensure we all achieve high performance. The processes are required to support everyone in understanding and achieving organisational, team and individual outcomes, including ongoing personal development, in line with the ways of working and to include behaviours which are expected in the CCGs.

1.4.   It is important that employees have a clear understanding of how what they do within their roles links to the goals or desired outcomes of the CCGs.

1.5.   This policy does not form part of any employee's contract of employment and it may be amended at any time. The CCGs may also vary the procedures set out in this policy, including any time limits, as appropriate in any case.

2. Scope of Policy

2.1.   This policy covers all employees, with the exception of bank staff, at all levels and grades, including senior managers, officers, directors, employees, trainees, part-time and fixed-term employees.

3. Responsibilities

3.1   **Employees**

It is the responsibility of employees to:

- Actively participate in the appraisal process.
- Familiarise yourself with the competency framework and appraisal paperwork.
- Attend appraisal meetings prepared and ready to discuss your performance and development.
- Ensure all mandatory training is in date and accurately recorded.

- Ensure you have completed all relevant paperwork prior to your annual appraisal.

3.2 Line Managers

It is the responsibility of line managers to ensure that they:

- Ensure that all direct reports are appraised annually.
- Familiarise yourself with the competency framework and appraisal paperwork.
- Ensure that you are well prepared for appraisal meetings including the completion of all paperwork where applicable.
- Have regular performance conversations with your direct reports throughout the year.
- Ensure that all objectives that are agreed are linked to the organisational goals and objectives.

3.3 Human Resources

Human resources will provide support and advice on all aspects of the application of this policy and process.

4. Competency Framework

4.1 The CCGs have developed a Competency Framework based upon the Healthcare Leadership Model to enable staff to work effectively and demonstrate positive behaviours across the organisation.

4.2 As part of the appraisal process the employee and Line Manager will agree at least three areas of the framework to focus on and develop over the coming year.

4.3 The framework has nine dimensions for staff to consider when undertaking a self-assessment of their performance over the last 12 months.

4.3.1 Dimension 1 - Purpose and Effectiveness

Taking pride in what we do, striving to improve and understand how we contribute to the effectiveness and success of the team, organisation and system.

4.3.2 Dimension 2 - Compassion and Trust

Showing compassion, empathy, understanding and listening to colleagues in order to create a supportive workplace

4.3.3 Dimension 3 - Information/Data Management and Service Improvement

Using and evaluating information/data to take action and make decisions that improve employee experience and improve the service. Being alert to what is happening at the team, organisation and system

level.

4.3.4 Dimension 4 - Collaboration and Partnering

CCG employees and leaders building working relationships and partnerships across the system to help deliver efficient and effective services.

4.3.5 Dimension 5 - Vision and Strategy

Communicating in a clear and compelling way to help employees understand how their work contributes to the organisation's success. Involving employees in setting the direction.

4.3.6 Dimension 6 - Team Working and Diversity

Respecting others, valuing diversity and making sure that everyone feels that their contribution is appreciated and valued. Working together for mutual benefit.

4.3.7 Dimension 7 - Accountability and Honesty

Clarity of expectation, giving feedback and supporting each other to meet expectations, taking personal responsibility, being accountable and contributing to high service standards.

4.3.8 Dimension 8 - Development and Capability

Personal growth, team development and behaviour linked to workforce knowledge and skills that will help to improve the service and system.

4.3.9 Dimension 9 - Influencing and Communicating

Sharing good practice and successful outcomes; networking and contributing professionally to debates and decisions. Effectively communicating whilst seeking to influence the future of the service and overall system.

5. Appraisal Process

5.1 The performance appraisal scheme has a standard template and a set of guidance to be followed.

5.2 All documents, forms and guidance relating to the performance appraisal scheme can be found on the HR pages of the CCGs' Intranet.

5.3 The performance appraisal scheme will provide a written record of the overall performance of the person being appraised. This appraisal includes a record of achievements and the overall performance of an individual appraisee against the targets and objectives set.

5.4 Where the employee has not been present at work for a significant period of

the appraisal review period, it may not be appropriate to review their previous performance but an objective setting and development review should take place.

5.5   Performance appraisal data will be collated to provide an overall picture of performance levels across and between teams, services and for the CCGs as a whole. It can also be used to inform other employment processes. This may include using data on an individual basis where evidence of performance is required to inform the effective, fair and consistent application of other employment policies and procedures e.g. secondment; acting up or internal promotion. The performance appraisal form completion is the responsibility of the individual appraisee so each member of staff only writes up in detail one appraisal form (their own) but the manager remains accountable for the form to be completed and submitted to the OD & HR team. The purpose is to allow accurate reflection on the CCGs' annual people performance and inform the Learning and Development and OD Plans.

5.6   Completed performance appraisals should be returned as they become available "falling into line" with the annual appraisal cycle as soon as is practicable.

5.7   All performance appraisals should be conducted in accordance with the CCGs' Equal Opportunities policies and procedures.

5.8   The written appraisal record will be processed in accordance with Data Protection principles and on completion, will form part of the employment record. Processing of appraisal information and viewing data may be carried out by the line manager, both current and previous, business support and OD & HR.

5.9   Employee Appraisal Preparation Form – see **Appendix A.**

5.10   Appraisal Form - see **Appendix B.**

5.11   Peer Review Form – see **Appendix C.**

5.12   Nursing and Midwifery Council (NMC) Revalidation Appraisal Checklist - see **Appendix D.**

5.13   Objective and Standard Setting Form - see **Appendix E.**

5.14   Annual corporate appraisal objectives will be set and should appear as a single thread in all the CCGs' employees' appraisals. Individual objectives must be SMART and most importantly within the individual's sphere of

accountability and influence.

5.15 A maximum of eight objectives, to include the corporate objectives, should be set each year.

6. Training

6.1. All appraising managers will be required to attend the Line Manager Appraisal Training sessions.

6.2. The sessions will ensure that Line Managers are comfortable with conducting the appraisal process and have the relevant skills to be able to carry out effective and informative performance conversations.

6.3. Training sessions are also available for all employees to attend in order to familiarise themselves with the process and understand what a 'good' performance conversation should consist of.

7. Timescales for Completion

7.1 Staff appraisals should take place annually with a six monthly review.

7.2 The first appraisal should take place within three months of a new employee starting in order to set the objectives and goals for the coming year.

8. Pay Award and Appraisals

8.1 **Pay Progression Process for New and Newly Promoted Staff (on or after 1 April 2019)**

8.1.1 Staff employed or promoted on or after 1 April 2019 will be required to follow the new pay progression system in order to receive their pay step increase.

8.1.2. Pay step increases will no longer be automatic and staff will be required to demonstrate the following in order to receive their pay step increase:

i)   An annual appraisal has been completed within the last 12 months and outcomes are in-line with organisational standards.
ii)   There are no formal capability processes in place.
iii)   There are no formal disciplinary sanctions live on the staff member's record.
iv)   Statutory and mandatory training has been completed and is up-to-date.
v)   For Line Managers only – that all their staff have been appraised within the last 12 months.

8.1.3. If a member of staff has been able to demonstrate the requirements

detailed above they will be eligible for their pay step increase.

8.1.4. ESR will be closed to automatic pay step increases for new and newly promoted staff as of 1 April 2019, Line Managers will therefore be required to complete the form found in **Appendix H**.

8.1.5. Line Managers will be notified at least three months in advance, that a member of their team is due a pay step increase and will be expected to undertake a pay step review with the employee at least one month in advance of their pay step anniversary.

8.1.6. Appraisals will need to take place each year regardless of whether there is a pay step increase scheduled for that year or not.

8.2 **Pay Progression Process for Existing Staff (employed or promoted prior to 1 April 2019)**

8.2.1 Pay progression for existing members of staff does not change. Staff will continue to progress through the incremental points as per the previous arrangement. This may change if a member of staff has already benefitted from the merging of an incremental point, as demonstrated in figure 1 below:

Figure 1.

Pay Uplift Type	Date	Value
Annual Pay Award	1 April 2018	£33,222
Incremental Date	6 October 2018	£33,222
Annual Pay Award	1 April 2019	£37,570
Incremental Date	6 October 2019	£37,570
Annual Pay Award	1 April 2020	£40,894
Incremental Date	6 October 2020	£40,894

8.2.2 An employee's incremental point will be awarded on their anniversary of start or promotion date automatically in ESR. There will be no need to complete any paperwork to receive the award.

8.2.3 Therefore during the transition period, staff may receive a combination of their incremental rise AND the annual pay award.

8.2.4 Despite awards continuing to be automatic it is important that staff undertake an annual appraisal and complete all their mandatory training.

8.2.5 The automatic award of the incremental point will cease on 31 March 2021.

8.2.6 To track their pay journey, staff can access the pay journey tool.

9. Interaction with Other Policies

9.1   This policy document should be read in conjunction with the 'NHS Terms and Conditions of Service Handbook' as amended from time to time.

9.2   This policy should be considered in conjunction with the following CCGs' policies:

- Disciplinary Policy.
- Capability Policy.
- Acceptable Behaviours Policy.

10. Equality and Diversity Statement

10.1   The Nottingham and Nottinghamshire CCGs pay due regard to the requirements of the Public Sector Equality Duty (PSED) of the Equality Act 2010 in policy development and implementation, both as commissioners and as employers.

10.2   As a commissioning organisation, we are committed to ensuring our activities do not unlawfully discriminate on the grounds of any of the protected characteristics defined by the Equality Act, which are age, disability, gender re-assignment, marriage and civil partnership, pregnancy and maternity, race, religion or belief, sex and sexual orientation.

10.3   We are committed to ensuring that our commissioning activities also consider the disadvantages that some people in our diverse population experience when accessing health services. Such disadvantaged groups include people experiencing economic and social deprivation, carers, refugees and asylum seekers, people who are homeless, workers in stigmatised occupations, people who are geographically isolated, gypsies, roma and travellers.

10.4   As employers, we are committed to promoting equality of opportunity in recruitment, training and career progression and to valuing and increasing diversity within our workforce.

10.5   To help ensure that these commitments are embedded in our day-to-day working practices, an Equality Impact Assessment has been completed for, and is attached to, this policy.

11. Communication, Monitoring and Review

11.1   This policy will be reviewed as required and no later than three years following the implementation date. The policy is stored on the CCGs' Intranet and in the CCGs' HR department.

11.2   The application of this policy and the effectiveness of the provision of awareness training will be monitored by the CCGs' HR team as and when required.

11.3   Any individual who has queries regarding the content of this policy, or has difficulty understanding how this policy relates to their role, should contact the 'document author'.

12.   References

- NHS Agenda for Change Terms and Conditions of Service.
- NHS Pensions Terms and Conditions.
- Equality Act 2010.
- Data Protection Act 2018.

Appendix A: Employee Appraisal Preparation Form

The following are questions to help you to think about your current role, your impact and effectiveness as well as your future development and potential:

Are you clear about your role and responsibilities?	Yes / No
Is your job description up-to-date?	Yes / No
Is all of your mandatory and statutory training up to date?	Yes / No
Is your professional registration up to date (if relevant to post)?	Yes / No
Are all of your direct report appraisals up to date? (**Line managers only**)	Yes / No

What aspect of your role has gone particularly well over the last 12 months (or since your last appraisal)? What are you most proud of?

(*To note, this could be a project, an improvement or an outcome etc.)*

What has been your most significant challenge? How have you overcome this?

What area/s of your work do you particularly enjoy and why?

What area/s of your work do you least enjoy and what strategies do you use to motivate yourself to undertake this work? Is there anything the CCGs could do to improve your job satisfaction?

Are there any issues that prevent you from completing your work and how might these be rectified?

How could you currently make better use of your knowledge, skills and experience? Think about areas of work you would like to get involved in even if this is only to a greater extent.

Over the last 12 months, how have you contributed to the success of your team or even the organisation? *(Try to link your contribution to the strategic and/or team objectives).*

Over the next 6 to 12 months, how do you believe you could further contribute towards the success of your team or even the organisation? How could you increase your impact/effectiveness? *(Try to link your contribution to the strategic and/or team objectives).*

In what ways have you empowered, motivated and engaged your team and how will you continue to do this? To what extent are you being inclusive, compassionate and caring? (***Line Managers only***)

How would you like to develop your role/career over the next 6 to 12 months? What additional knowledge, skills and/or experience do you believe could help you to be more successful e.g. undertake a NHS Leadership Academy development programme?

If you interested in being considered for the regional talent boards, why do you believe you are suitable?

If utilised, what were the main development themes from your 'peer review' and how will you progress these?

What have you done to enhance your working relationships, especially with new colleagues or those who are different to you? Think mostly about colleagues you work closely with.

In the current climate, what will help you to be more emotionally and psychologically resilient? How are you managing stress and any feelings of anger or disappointment etc?

As a reminder and as part of your appraisal preparation you should complete the self-evaluation tool that is at the back of the CCGs' competency framework booklet.

To aid your Line Manager's preparation, please hand them a completed copy of both this form and the self-evaluation tool 5 days in advance of the date of your appraisal.

Appendix B: Appraisal Form for 2019/20

Content

Section 'A'	Personal Details
Section 'B'	Mandatory and Statutory Training, Professional Registration and Appraisal Compliance
Section 'C'	Strategic Objectives, Team Objectives and NHS Core Values
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Section 'E'	Objectives and Standard Setting
Section 'F'	Personal Development Plan and Completed Learning, Training and Development
Section 'G'	Career Development Agreement/Plan
Section 'H'	General Comments
Section 'I'	Next Steps for Line Managers …

Signatures

Employee:		Date:	
Line Manager:		Date:	

Please sign this document to confirm that the appraisal has been completed.

Before using this paperwork all employees must be familiarised with the process and Line Managers must be trained.

Section A

Personal Details

Name:	
Job Title:	
Department:	
Line Manager:	
Date of Appraisal:	

Section B

Mandatory and Statutory Training Compliance

Is all mandatory and statutory training up-to- date?	Yes	
All mandatory and statutory training must be up-to-date at the time of the appraisal.	No	

Professional Registration

Is professional registration up-to-date?	Yes	
Where it is a requirement of the post, professional registration must always be maintained. It is the employee's responsibility to maintain professional registration.	No	

Appraisal Compliance (*for Line Managers only*)

Are all direct report appraisals up-to-date?	Yes	
All direct report appraisals must be up-to-date at the time of a Line Manager's own appraisal.	No	

Section C

Strategic Objectives, Team Objectives and NHS Core Values

Strategic Objectives	Team Objectives	NHS Core Values
Transitional Governing Body Priorities 2019/2020 *Outputs from May & June GB development sessions*: (1) Merge the Clinical Commissioning Groups - Implement new management structure, culture and governance, establish clear vision and role as a Strategic Commissioner (2) Establish a clear view of ICP devolution (3) PCN development (4) Deliver financial balance (5) Performance • Improve NUH Urgent Care • Improve mental health (6) Establish a clear future plan as a Strategic Commissioning organisation (7) Develop new structures and approaches to enhance clinical engagement in transformational change (8) Establish new commissioning and contracting currencies that support behaviour change (9) Establish ongoing underpinning & effective cultural and organisational development (direction, urgency, cascade, values & behaviours) (10) HR/OD • Implement management of change process in support of transition to a strategic commissioner • Undertake capability gap analysis post restructure completion - directorate level • Establish & implement developing commissioning capability programme • Integrate HR functions		• Working Together for Patients • Compassion • Respect and Dignity • Improving Lives • Commitment to Quality of Care • Everyone Counts *(Please see the NHS Core Values Framework for more information)*

Section D

Nottingham and Nottinghamshire CCGs' Competency Framework

After self-evaluating against each of the following dimensions, employees should select and jointly agree with their line manager at least three behaviours/dimensions that the employee will develop against over the next 12 months *(see self-evaluation tool at the back of the CCGs' Competency Framework)*. All employees should be continuously working in-line with the CCGs' competency framework evidence to show that certain dimensions are being met.

Dimension	Comments
• **Purpose and Effectiveness** • **Compassion and Trust** • **Information/Data Management and Service Improvement** • **Collaboration and Partnering** • **Vision and Strategy *(Line Managers Only)*** • **Team Working and Diversity** • **Accountability and Honesty** • **Development and Capability** • **Influencing and Communicating**	

Section E

Objectives and Standard Setting

Refer to the objectives and standards setting form for 1-2-1s/appraisals.

Line Managers to agree at least three **developmental objectives** that link directly to continually improving their own leadership style. These do not necessarily need to be major improvements.

Employees to agree at least three **development objectives** to help them to undertake their role more effectively. These do not necessarily need to be major improvements.

Section F

Personal Development Plan and Learning, Training and Development (completed during last 12 months)

Use this form to record agreed learning, training and/or development needs.

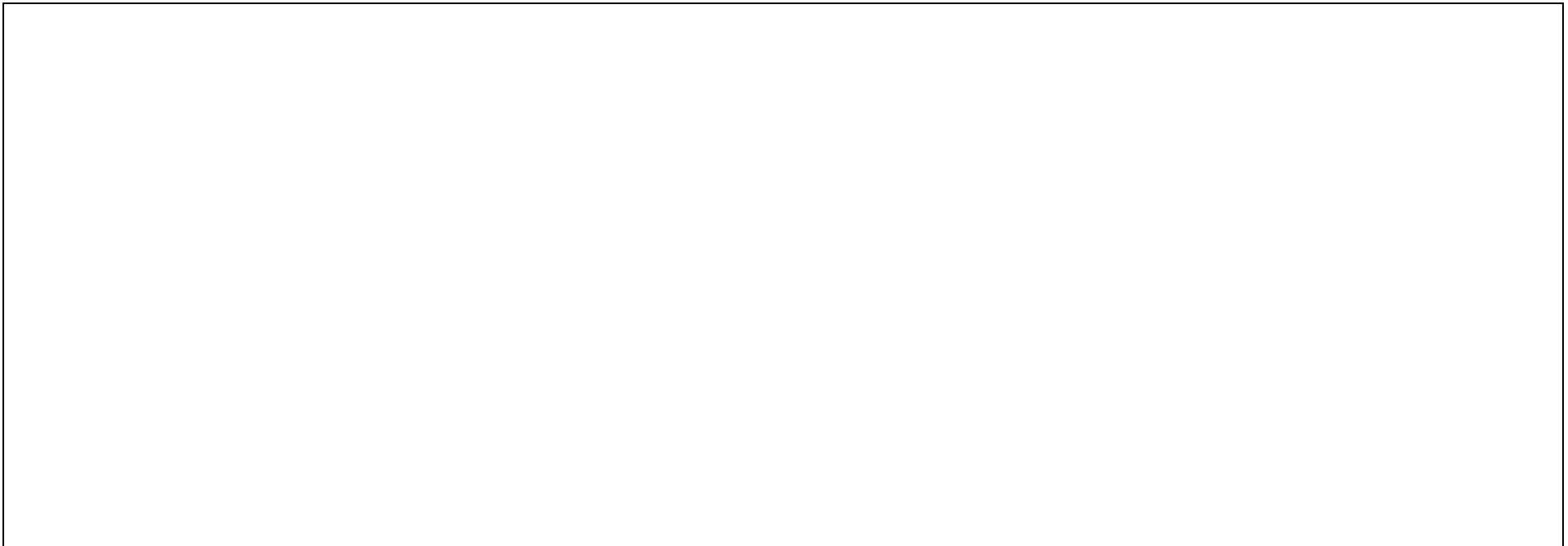| What is the learning, training or development need?	How will this be achieved?	Why is this being undertaken? a) Mandatory b) Statutory c) Essential to the organisation (required for the role) d) Desirable to the individual (career or personal aspirations)	Completion Date

Please briefly state what learning, training and/or development has been undertaken during the last 12 months. This could be coaching, mentoring, a leadership development programme, a masterclass etc.

What was the learning, training or development undertaken?	How was this achieved?	Who was the provider e.g. EMLA?	Completion Date / On-going

Section G

Career Development Agreement/Plan

Use the following text box to record how the organisation will help to meet future career plans/aspirations? This can link to the Personal Development Plan.

Section H

General Comments

Use the following text boxes to record any general comments that need to be formally recorded:

Employee Comments:

Line Manager Comments:

Section I

Next Steps for Line Managers …

1) Recording Appraisal Completion

To enable the Human Resources Department to record and monitor appraisal compliance, Line Managers are asked to send a completed **and signed** copy of the **appraisal form** and **objective and standard setting form** (*as one document*) to ncccg.hr.greaternottingham@nhs.net **within 10 working days** of the appraisal being completed.

To note, failing to email the completed appraisal form and objective and standard setting form to the HR Department is no different to the appraisal not having taken place.

2) Professional Registration

If relevant to the role, please contact the HR Department if the employee's **professional registration** has not been maintained.

3) Filing of Paperwork

Upon completion of the annual appraisal please ensure a **signed copy** of the appraisal form and objective and standard setting form (including all other appraisal documentation i.e. appraisal preparation form, NMC revalidation appraisal checklist, peer review form and self-assessment tool) is given to the employee.

A copy of the employee's appraisal form and objective and standard setting form will be filed on the employee's personal file by the Human Resources Department.

Appendix C: Peer Review Form

Please note that peer reviews are optional and not a mandatory part of the appraisal process.

Notes for the person who has been asked to do undertake a peer review:

You have been identified by the person who sent you this document to provide peer review feedback on them. This will form part of their annual appraisal. This document is designed to provide you with guidance as to the most effective way to complete the peer review document.

In order to be an appropriate person to provide feedback you will ideally have linked in with the person in question in one of a variety of ways, for example; worked on a project together, or have worked in a team with them. In order for the feedback to be appropriate and relevant, it is important that you feel you have had enough interaction with them, to be able to offer an opinion on the way they work. If you feel you are not in a position to do this, please speak to the person who has sent you the request, in the first instance.

Guidance on completing the peer review form

Your feedback will be taken into consideration as part of the annual appraisal. Because of this, it is important that your feedback:

- Gives a balanced view of the performance or working relationship you have, or have had with this person, so gives positive feedback where they have done well, and suggestions for areas in which they could improve.
- Is constructive when highlighting areas for improvement.
- Is supported by specific examples where possible, to enable the recipient to clearly understand what they have done well, or the areas they may need to improve on.
- Is not a surprise! It is not good practice to highlight negative issues for the first time within an annual appraisal process.
- Is timely. If you will struggle to return the completed form to the recipient in the timeframe stated please let them know. Annual appraisals are time limited in order to adhere to organisational objectives.
- Is not personal. The peer review is an opportunity for you to provide your opinion on the person's working practices and the manner in which they conduct themselves in a working environment.

Peer Review Form

Employee's Name:	
Reviewer's Name:	
Date:	

In what way did I add value?

What would you have liked me to do differently?

What did I do well?

How well did we work together?

Thank you for completing this form

Appendix D: Nursing and Midwifery Council (NMC) Revalidation Appraisal Checklist

Name:		NMC Pin No:	
Job Role:			
Appraisal Date:		Revalidation Date:	
Line Manager's Name:			
Line Manager's Role:			

The following table should be used to record progress made against achieving the revalidation requirements by the date of revalidation:

Requirement	On track Y/N	Comments (details of evidence, progress made and action to rectify if off track)
Registered Practice: Have you completed 450 hours of registered practice in the last three years or 750 hours in the last five years? Dual registration e.g. nurse and midwife requires 900 hours. *Please state in the comments section if you have practiced with a lapsed registration*		
CPD: have you undertaken 35 hours of learning in the last three years (20 must be participatory)?		
Supporting Evidence: • Have you five pieces of practice-related feedback? • Have you produced five written reflective accounts? • Have you had a reflective discussion and recorded this?		
Health and Character: Are you of sufficient health and character to be capable of safe and effective practice?		

Have you received any **police charges, cautions, convictions** or **conditional discharges** (including if they are 'spent')? *Those that are protected do not need to be declared. This includes fixed penalty motoring offences unless you were disqualified from driving.*		
Fitness to Practice: Have you had any sanction/determination from a licensing or regulatory body in the UK (other than NMS) or abroad to the effect that your fitness to practise is impaired? *Sanctions could include a caution, prohibition or restriction to your practice.*		
Professional Indemnity: Do you hold the appropriate indemnity cover or will you hold this when practising?		
English Language: Do you meet the NMC English Language requirements?		

NMC Registrant Signature:		**Date:**
Line Manager Signature:		**Date:**

For full details on how to revalidate click on this link:
https://www.nmc.org.uk/globalassets/sitedocuments/revalidation/how-to-revalidate-booklet.pdf

Appendix E: PART 1: Objective and Standard Setting Form

Employee:		Line Manager:	

Strategic Objective:	Team Objective:	Objective/Standard:	How will success be evaluated?	Action/Progress: *Comments can include reasons why the objective/standard has not been met so far*	Date Agreed	Completion Date or Milestone:	Objective Met
							Yes No
							Yes No
							Yes No
							Yes No

							Yes
							No
							Yes
							No
							Yes
							No

Signatures

Employee:		**Date:**	
Line Manager:		**Date:**	

(1) All objectives and standards should always be agreed between **line manager** and **employee.**

(2) There is no set number of objectives/standards that should be set per person. These should simply be achievable and in the time available.

(3) Make use of **SMART** (specific, measureable, achievable, relevant and timely) when setting objectives and **AUOM** (achievable, understandable, observable and measurable) when setting standards.

(4) Sign and date this document to confirm that a 1-2-1/appraisal (delete as appropriate) has taken place.

Appendix F: Appraisal Guidance Notes

Content   **Page**

1. The Performance Management Process

The Performance Management process has been designed to enable you to have a meaningful conversation with your Line Manager about your current role, objectives, developmental needs and your future potential on a continuous basis.

This process is intended to be of value to you, your Line Manager and the organisation and is not designed to be a tick box exercise.

2. The Importance of Annual Appraisals and 1-2-1s

Why are these important?

Both annual appraisals and regular 1-2-1s are essential components of a performance management process as these help Line Managers to ensure that employees are working in-line with the Operational Plan, the Strategic Aim/Objectives as well as Team Objectives.

Appraisals and 1-2-1s not only enable Line Managers to review the past, present and future but they also help build trust between Line Management and employee. They further help to motivate and keep communication channels open. For example, where employees or Line Managers have concerns or issues, 1-2-1s can provide the opportunity to discuss these in a timely way.

Finally, appraisals also help support organisational and team development whilst ensuring the organisation continues to be efficient and effective.

3. The Operational Plan, Strategic Aim/Objectives and Team Objectives

The Operational Plan, Strategic Aim and Strategic Objectives are developed by the organisation to provide vision and direction to the commissioning intentions and requirements over the coming year(s). Each team will be given the opportunity to contribute towards setting their own team objectives in advance of these being linked to individual appraisals.

It is essential that all employees understand their personal contribution to the success of their team and the organisation. This appraisal process should help employees and Line Managers establish the link between individual objectives, the team and organisational objectives.

4. Frequency and Duration of Appraisal

Appraisals should always take place annually and just before the anniversary of an employee's start date.

The length of an appraisal is not fixed but ideally Line Managers should schedule 1.5 hours per conversation. This allows for a meaningful interaction and discussion to take place and to explore all aspects of the process in depth.

5. Appraisal Documentation

The **appraisal preparation form** has been created to help employees have a focussed and valuable conversation with their Line Manager.

The preparation form has set questions that each employee should consider in advance of the appraisal meeting, with the answers forming part of the appraisal conversation.

The **appraisal form** is designed to record compliance with mandatory and statutory training, professional registration and performance against agreed objectives/ standards and the competency framework that can potentially enhance work performance. The form also provides an opportunity for Line Managers and employees to discuss and record past and future development as well as career aspirations.

Once newly agreed objectives and standards have been agreed, these will be recorded on the **1-2-1 documentation** form for use in future meetings.

All Nurses/Midwives, who are required to maintain their registration, should make use of the CCGs' **NMC Revalidation Appraisal Checklist Form.**

The **Peer Review form** has been designed to provide employees with the opportunity to obtain peer feedback on performance. The use of this form is **not mandatory** and it is therefore entirely at the discretion of each employee as to whether they incorporate peer feedback into their appraisal.

To note, CCG employees based at an external site should be appraised by their 'line manager' at the host organisation using the CCGs' appraisal documentation.

6. Frequency and Duration of 1-2-1s

For new employees, the first 1-2-1 should take place within two weeks of their start date but after their induction is complete.

For existing employees, 1-2-1s should ideally take place on a monthly basis. However, the frequency of reviews should always be scheduled in-line with what is needed.

The duration of each 1-2-1 meeting should be scheduled for an hour and used as required.

7. Objectives and Standards

Objectives and standards are vital components of a performance management process and therefore should not be agreed once a year and then reviewed 12 months later. Instead the setting of SMART objectives and AUOM standards is an on-going activity between the Line Manager and employee that seeks to ensure

clarity of responsibilities whilst continuously stretching (where appropriate and requested), motivating and monitoring performance against agreed objectives. Individual objectives and standards should then always be discussed, agreed, formally recorded and reviewed regularly. These should never be imposed by a Line Manager.

Standards should be agreed when the task is repetitive. These should be continuously maintained, reviewed and improved where possible.

New objectives/standards can lead to additional development needs, including coaching and mentoring. Development needs should then be reviewed continuously by the Line Manager and employee.

An employee is deemed to be performing to the required level if they can demonstrate achievement of objectives and/or standards, to include, where appropriate, the submission of evidence to affirm achievements.

8. 1-2-1 Objective and Standard Setting Documentation

The objective and standard setting documentation should always be used during a 1-2-1. This will ensure that both Line Manager and employee have a record of what has been agreed.

Whilst it is the responsibility of Line Managers to ensure objectives and standards are recorded, employees should update the 1-2-1 documentation in order to promote ownership of all goals. Employees should provide their Line Manager with a copy of the updated 1-2-1 paperwork for their Line Manager's records.

The 1-2-1 documentation is also used to record new objectives and standards agreed during the annual appraisal.

9. Competency Framework and Self-Assessment Tool

The Competency Framework sets out how employees at all levels of the organisation should behave. Employees should read through the framework and make use of the self-assessment tool to determine strengths and developmental areas.

Line Managers should discuss and then agree with the employee where development needs exist before agreeing developmental objectives/standards.

10. Dealing with Underperformance

Where it is believed underperformance exists, Line Managers should prioritise speaking with employees privately and confidentially to raise concerns and establish the facts.

Underperformance should be assessed based on the responsibilities and

accountabilities as outlined in the individual's job description, they should not be based on the 'stretch' activities that may have been agreed via the appraisal process.

Where underperformance has been identified, Line Managers should raise their concerns with the HR team to establish a way forward and ensure the situation is managed appropriately and sensitively and to ensure the most appropriate support for the individual is put in place.

It is important to note that employees will be fully supported by line management and colleagues and given every opportunity, within reason, to improve. Furthermore, relevant training and development, including coaching/ mentoring, will always be considered and agreed with the employee where required.

Finally, whilst it is the responsibility of Line Managers to ensure that employees are performing to the required standard on an on-going basis, underperformance should never come as a surprise during an appraisal.

11. Professional Registration

It is essential that professional registration is maintained if this is a requirement for the role and listed on the job description/person specification.

An employee could be subject to a disciplinary investigation and/or suspension if professional registration is required and not maintained.

12. Nurse Revalidation

In 2016 the Nursing and Midwifery Council (NMC) introduced a revalidation process for Registered Nurses, Midwives and Nurse Associates. The revalidation process is the responsibility of the individual to collate the relevant evidence to meet the stated requirements.

In order to support this process, Line Managers will work with their nurses to ensure that they are in a position to meet all the required elements of the revalidation process. This may include setting development objectives.

For more information about nurse revalidation visit http://revalidation.nmc.org.uk/

Please also make use of the organisation's **NMC Revalidation Appraisal Checklist Form.**

13. Preparing to Hear Feedback

Feedback is a vital part of any performance management process and essential for employees to perform at their best as an individual and also as part of a team. This also provides greater self-awareness as to where employees (or teams) are performing well along with a deeper understanding of how they can improve.

When receiving feedback, employees should try not to be nervous or defensive but instead be curious about how they are perceived and view this as an opportunity to hear what Line Management think to their performance/behaviour.

If employees require feedback on specific areas of their work and/or development, employees should ask their Line Manager to focus on this as part of their 1-2-1 sessions. Feedback should be balanced and timely as well as noting it should be honest and confidential.

14. Learning, Training and Development

A conversation between Line Manager and employee about new learning, training and development should always form part of the annual appraisal process and a plan agreed for the year ahead.

Line Managers should consider the necessity of the learning request and cost before confirming that training can go ahead. Line Managers should also be aware of the Learning and Training request process that needs to be submitted to Directors' Group for approval.

On an on-going basis, conversations about learning, training and development should also form part of the 1-2-1 process where new development or training needs have been identified by either Line Manager or employee.

Appendix G: Nottingham & Nottinghamshire CCGs' Competency Framework

2019/20

For information, this framework is aligned to the Healthcare Leadership Model

Content

Overview of Dimensions

Number	Dimension Heading	Employees	Line Managers
1	Purpose and Effectiveness	Having a shared sense of purpose	Inspiring a shared sense of purpose to enhance effectiveness
2	Compassion and Trust	Supporting others and building trust	Leading with care and compassion
3	Information/Data Management and Service Improvement	Gathering, evaluating and using information/data as well as new ideas/concepts to support service improvement	Promoting change and innovation to support service improvement
4	Collaboration and Partnering	Building relationships to connect and develop services/the system	Encouraging partnership working and collaboration to connect and develop services/the system
5	Vision and Strategy *(Line Managers Only)*	n/a	Sharing the vision and strategy
6	Team Working and Diversity	Working together to deliver the service whilst respecting difference	Engaging the team and promoting diversity
7	Accountability and Honesty	Holding ourselves to account and evidencing a high level of integrity	Holding individuals and the team to account
8	Development and Capability	Developing to improve personal performance and support the team	Developing individuals and the team to enhance performance
9	Influencing and Communicating	Communicating and influencing to support effectiveness	Influencing the team and supporting the system

Dimension 1: Purpose and Effectiveness

Taking pride in what we do, striving to improve, grow and understand how we contribute to the effectiveness and success of the team, organisation and system:

	Employee: Having a shared sense of purpose	Line Manager: Inspiring a shared sense of purpose to enhance effectiveness
What this means	Understanding own contribution towards the success of the team and required level of contribution. Working in-line with the NHS and CCGs' core values. Being self-confidence and motivated to deliver service excellence. Actively listening to and learning from colleagues.	Fully understanding the service being delivered and clearly communicating expectation. Acting as a role model by exhibiting positive leadership behaviour. Motivating the team and building their confidence. Being prepared to actively listen to and learn from the team/individuals. Encouraging the sharing of learning and knowledge across the team, organisation and system. Understanding how effective the team and service is being.
Why this is important to the CCGs	Being clear about own role and responsibilities helps deliver the service.	Understanding what is expected from the service and its purpose will support overall effectiveness.
Behaviours to exhibit	Challenging the status quo, albeit respectfully. Being prepared to have own level of competency stretched and in turn enhance the service. Continuously sharing ideas, new learning and knowledge with colleagues, the team and other services. Making improvements to the service.	Recognising and appreciating positive behaviour and personally exhibiting this. Being open to having management decisions challenged. Being visible, accessible and supportive of the team. Setting and agreeing stretching objectives/standards for individuals and teams. Acquiring knowledge and learning from other teams/services and aligning team objectives with those of other teams. Discussing and collectively agreeing what can be done to make improvements to the service.

Behaviours to avoid	Copying poor behaviour exhibited by others (including line management) when you know it is unacceptable. Ignoring the ideas, views and perspectives of colleagues. Being unconcerned with own ineffectiveness and/or coasting.	Personally exhibiting and thus perpetuating unacceptable behaviours. Ignoring the ideas, views and differing perspectives of the team/individuals and making decisions in a singlehanded way. Avoiding listening to others especially when they have concerns. Thinking line management has all the answers. Being unconcerned with the team's lack of effectiveness and success.
How you can develop wanted behaviour	Ask for feedback on own effectiveness from line manager and/or even immediate colleagues. Develop further knowledge and skills to improve own effectiveness.	Obtain feedback on the effectiveness of the team/service. Google and read leadership/ management articles from e.g. Harvard Business. Watch e.g. business related TED talks on YouTube. Undertake a 360 Healthcare Leadership Model assessment.

Dimension 2: Compassion and Trust

Showing compassion, empathy, understanding and listening to colleagues in order to create a supportive workplace:

	Employee: **Supporting others and building trust**	Line Manager: **Leading with care and compassion**
What this means	Being caring and supportive towards colleagues. Building rapport and trust. Listening with interest to the perspectives of colleagues. Taking the time to understand colleagues' work.	Providing a caring and supportive environment that enables teams and individuals to perform effectively. Ensuring rapport/trust is built across the team. Listening with interest to the perspectives of colleagues and taking into account their views when making decisions. Understanding what motivates and demotivates employees.
Why this is important to the CCGs	Being compassionate and caring towards colleagues impacts positively on service outcomes.	Leading a team in a compassionate and caring way impacts positively on service outcomes.
Behaviours to exhibit	Responding with empathy and thoughtfulness when colleagues have high workloads and/or are dealing with difficult situations. Helping out where possible. Taking the time to listen and reflect on different perspectives. Supporting colleagues through tough times. Managing negative emotions that drain others. Showing respect and courtesy towards others even when under pressure and/or when feeling disappointed, frustrated or angry.	Paying attention to difficult situations teams/individuals are facing, including high workloads, and responding with empathy and thoughtfulness. Actively listening to the problems teams/individuals are experiencing and supporting them through tough times. Motivating colleagues and avoiding actions that will demotivate. Emotionally supporting colleagues where needed. Managing disrespectful team behaviour. Establishing how the team should be engaged.

Behaviours to avoid	Avoiding responsibility and showing disregard for the wellbeing of colleagues. Failing to be self-reflective and consequently not appreciating the impact of poor behaviour on others. Learn to value others and be proud of your own contributions. Cherry picking the work to the detriment of colleagues and the service. Being suspicious of others without good cause.	Avoiding line management responsibility and showing disregard for the emotional, psychological and physical wellbeing of colleagues. Excusing and/or ignoring poor performance or behaviours.
How you can develop wanted behaviours	Be aware of your own level of resilience, (physical and mental wellbeing) and how this might impact on others. Self-refer to Occupational Health when needed. Make use of meditation techniques and relaxation sounds/music on YouTube to help in the management of negative emotions and stress. Request a coach/mentor through East Midlands Leadership Academy.	Develop coaching and mentoring skills to help improve employee performance/behaviours and team working. Consider a 360 Healthcare Leadership Model assessment.

Dimension 3: Information/Data Management and Service Improvement

Using and evaluating information/data to take action and make decisions that improve employee experience and the service/system. Being alert to what is happening at the team, organisation and system level:

	Employee: Gathering, evaluating and using information/data as well as new ideas/concepts to support service improvement	Line Manager: Promoting change and innovation to support service improvement
What this means	Being open to sharing ideas and proactively gathering and using/considering data/ information from a variety of internal/external sources. Continuously sharing new information/data. Being open to change and looking for ways to improve the service/system.	Being open to considering and using information/data from a variety of internal/external sources, listening to and sanctioning new ideas. Making informed decisions and approving evidence based plans. Leading service change and promoting and encouraging innovation.
Why this is important to the CCGs	Being alert to new ideas/concepts, information/data and performance methodology is essential to continuously improving the service and system.	Being prepared to continuously lead, consider and approve change to the way the service/system operates will support patient experience/outcomes.
Behaviours to exhibit	Researching e.g. looking externally for new ideas/concepts and information/data, including benchmarking data. Sharing, accessing and making use of new information/data and concepts/ideas. Evaluating data/information at a deeper level. Establishing new methods for measuring performance and using this type of information to continuously improve systems	Actively considering, approving and making use of new ideas/concepts and information/data, including benchmarking data, to continuously improve systems/processes as well as the service and the system. Considering and approving new methods for measuring performance. Approving improvement plans based on analysis. Approving and encouraging the

	and processes. Innovate wherever possible. Developing improvement plans based on analysis.	sharing of ideas, information and data across the system. Encouraging deep analysis of data/information. Role model innovative working practices.
Behaviours to avoid	Being reluctant to seek out or access new information/data or share new ideas/concepts across the organisation and/or system. Showing reluctance to look for or accept a better way of working. Blocking progress. Only considering a personal perspective as being relevant or important.	Shelving, even withholding information/data that could be of use to the service, organisation and/or system. Showing reluctance to consider, approve or adopt a better way of working. Blocking progress by not listening to new ideas/concepts about how the service, the organisation or system can be improved. Only using tried and tested methods. Dismissing different perspectives.
How you can develop wanted behaviours	Google for new ideas/concepts and to find out what is happening in your field and beyond. Network with CCG colleagues or employees in other parts of the system for new ideas/concepts, information/data (including benchmarking data) and new performance methods. Put yourself in the shoes of other people to consider their perspective. Think about how you are behaviourally holding yourself back. Be brave and try a different approach.	Be self-reflective and think deeply about how you are experienced as a line manager. Take calculated risks and ensuring change is constant but also relevant. Complete a 360 Healthcare Leadership Model assessment.

Dimension 4: Collaboration and Partnering

Relationship building and partnering across the system to help deliver efficient and effective services and improved healthcare:

	Employee: Building relationships to connect and develop services/the system	Line Manager: Encouraging partnership working and collaboration to connect and develop services/the system
What this means	Building effective working relationships and partnerships across the CCG and the system to support collaborative working. Keeping up to date with health and social care change and how financial and operational pressures and current challenges affect the service.	Ensuring the team understand how health and social care services fit together. Supporting and encouraging relationship building and partnerships across the CCGs and the system to enable collaborative working. Understanding and communicating how financial and operational pressures as well as current challenges influence service delivery.
Why this is important to the CCGs	Working together will ensure effective and efficient healthcare is delivered across the system.	Supporting and encouraging collaboration and partnering will ensure effective and efficient healthcare is delivered across the system.
Behaviours to exhibit	Being prepared to work with those who have a different approach or those we don't know well. Networking and making useful connections across the system. Staying connected to stakeholders and understandings their needs and motivations. Being flexible in order to overcome obstacles and challenges; and proactively sharing good practice and learning across the system.	Encouraging employees to network across the system and make connections. Encouraging and supporting partnership working. Encouraging and supporting the team to collaborate with others across the system, including other CCG teams. Making suggestions on how the team can work more collaboratively. Encouraging the sharing of good practice and learning across the system.

Behaviours to avoid	Making enemies by devaluing others and not appreciating their contribution and strengths. Psychologically and physically moving away from others rather than towards them. Being mistrustful and suspicious or even defensive. Being insular. Being unsupportive and unhelpful.	Being unapproachable and autocratic. Thinking about only your service, team or professional group's needs. Being reluctant to collaborate or partner with other managers, teams or services across the CCG or even the system.
How you can develop wanted behaviours	Understand the cultures, structures, workings and purpose of the system as a whole. Research to understand your stakeholders, their needs, motivations and expectations. Appreciate that difference is useful and learn to trust, respect, support, collaborate and partner with colleagues across the system. Try to be self-reflective and think about how others perceive or experience you. Network with colleagues across the system where possible.	Actively work with employees and teams from across the system to share and discuss ideas and to align services. Encourage this behaviour in others. Be self-reflective in respect of your leadership and management style. Be fully open to change and progress. Work democratically.

Dimension 5: Vision and Strategy (Line Managers Only)

Communicating in a clear and compelling way to help employees understand how their work contributes to the organisation's success. Involving employees in setting the direction:

	Line Manager: Sharing the vision and the strategy
What this means	Having a clear sense of purpose and direction. Understanding and appreciating the big picture. Understanding the value that employees are adding to the service, the organisation and the system and ensuring this is communicated. Being responsible and committed.
Why this is important to the CCGs	Employees should understand where the organisation is heading and how they contribute towards success at an individual, team, organisation and system level. They should also be involved in setting the direction.
Behaviours to exhibit	Communicating the vision and strategy in a way that is clear but also feels achievable and realistic. Displaying confidence, a high level of integrity whilst inviting comments and questions. Breaking things down and clearly explaining the reason for plans/decisions to support understanding at all levels. Providing an opportunity for teams to contribute towards setting strategy, team objectives and helping them understand how their contribution matters.
Behaviours to avoid	Avoiding answering difficult questions and giving difficult messages, even passing the responsibility to someone else. Setting objectives that do not align to the strategy.
How you can develop wanted behaviours	Ask for feedback on your communication and engagement style. Check that employees have understood your message. Ensure decisions and future plans are communicated in a timely way.

Dimension 6: Team Working and Diversity

Respecting others, valuing diversity and making sure that everyone feels that their contribution is appreciated and valued. Working together for mutual benefit:

	Employee: Working together to deliver the service whilst respecting difference	Line Manager: Engaging the team and promoting diversity
What this means	Working as an effective and engaged team. Being respectful and compassionate to others. Supporting the team. Valuing the strengths of CCG colleagues as well those working across the system. Valuing the diversity that colleagues can bring to the team, organisation and system.	Actively promoting team working whilst ensuring different personalities/work types are courteous towards each other and value each other's strengths. Ensuring colleagues show compassionate towards each other. Valuing diversity so that it makes a positive difference to staff experience and the team.
Why this is important to the CCGs	Teams need to consistently value and respect each other to effectively deliver the work of the service, organisation and system.	Teams need to feel valued and respected by the leadership so that they can deliver an effective service and support the organisation and system.
Behaviours to exhibit	Treating colleagues with respect and avoiding and/or changing behaviour that is inappropriate for the workplace. Valuing and making use of the abilities of colleagues who are different and/or have different perspectives. Identifying improvements and being vocal about ideas that can help to improve the service, organisation and/or system. Working co-operatively within the team and across the organisation and system.	Ensuring employees are treated with respect by colleagues and challenging inappropriate behaviour. Listening to ideas from the team/individuals and working together to implement solutions. Stretching the team to achieve all they can. Fostering co-operation and uniting the team. Agreeing shared goals/objectives.

Behaviours to avoid	Creating or joining a clique. Refusing or failing to recognise the positives and value to the CCGs of a diverse team or even an employee that embodies diversity. Behaving badly towards others, even refusing to work with colleagues, because you just don't like them. Speaking to or about colleagues in a disrespectful and/or unfair way.	Making unreasonable requests of the team/individuals. Playing favourites, encouraging cliques even creating a 'them and us' culture. Refusing or failing to recognise the positives and value to the CCGs of a diverse team. Failing to support diversity. Speaking to colleagues and teams in a disrespectful way and allowing disrespect to exist between colleagues.
How you can develop wanted behaviours	Ask for feedback from a trusted colleague on what you are doing well and on where you could improve. Use self-coaching techniques and replay events to increase your self-awareness. Google and read articles on team working.	Ask for feedback from a trusted colleague on what you are doing well and on what could be improved. Consider a 360 Healthcare Leadership Model assessment. Use self-coaching techniques and replay events to increase your self-awareness.

Dimension 7: Accountability and Honesty

Clarity of expectation, feeding back and supporting each other to meet expectation; taking personal responsibility, being accountable, honest and contributing to high service standards:

	Employee: Holding ourselves to account and evidencing a high level of integrity	Line Manager: Holding individuals and the team to account
What this means	Self-managing. Staying motivated. Being self-reflective and finding ways to improve own performance. Being honest with colleagues although respectful. Taking responsibility for own outcomes and contributing to team outcomes.	Encouraging individuals and the team to find ways to improve performance. Giving employees the freedom to self-manage within the demands of their job. Continuously motivating the team. Being clear about expectation. Encouraging honesty and respect amongst colleagues and team members.
Why this is important to the CCGs	This helps ensure individuals/teams know what is expected, that they are prepared to hear feedback and develop accordingly whilst taking responsibility for own outcomes.	To provide clarity of expectation, enhance service delivery and safeguard service reputation.
Behaviours to exhibit	Personally setting high standards and then competing against these. Taking responsibility for delivery of own objectives and standards, including when things go wrong. Being supportive of colleagues and collaboratively working together as a team/organisation, especially in times of crisis. Being proud of own achievements.	Celebrating the success of the team and recognising employees that go the extra mile. Setting/agreeing high but realistic standards and performance/ development objectives. Continuously stretching the team to achieve all they can. Supporting and encouraging individuals/the team to take responsibility for their own standards/objectives. Letting the team just get on with it.
Behaviours to avoid	Avoiding tasks that are part of the job. Aggressively competing against	Taking the credit for an individual's/the team's work. Continually leaving individuals/teams

	colleagues or even other teams. Expecting colleagues to pick up the slack. Ignoring fair and balanced feedback. Doing as little as possible. Avoiding giving 'bad news' to line management. Taking pleasure in watching a colleague struggle.	to their own devices i.e. not providing adequate management support. Tolerating mediocrity and poor performance. Setting unfair individual/team objectives or standards that cannot be reached. Imposing standards/objectives on individuals/teams. Avoiding giving feedback or giving unbalanced feedback e.g. all good or all developmental.
How you can develop wanted behaviours	Take responsibility for your role, performance and outcomes. Actively and willingly be involved in your 1-2-1s and annual appraisal. Actively contribute towards team meetings. Be emotionally prepared to hear feedback from your line manager.	Undertake regular 1-2-1s and annual appraisals. Undertake regular team meetings and pass on key organisational messages in a timely way. Agree stretching objectives and standards. Ensure these are not imposed. Give the team an opportunity to contribute towards setting team objectives and link these to the strategic aim/objectives. Develop coaching and mentoring skills.

Dimension 8: Development and Capability

Personal growth, team development and behaviour linked to workforce knowledge and skills that will help to improve the service/system:

	Employee: Developing to improve personal performance and support the team	Line Manager: Developing individuals and the team to enhance performance
What this means	Appreciating that everyone has something to offer. Recognising and valuing own contribution including that of others. Continuously developing in-line with service need. Working in-line with the NHS and CCGs' core values and competency/behavioural framework.	Adopting an inclusive approach to identifying potential and recognising that everyone has something to offer. Leading by example and role modelling personal development and behavioural change. Continuously developing the workforce, meeting future demand, addressing workforce challenges and supporting succession planning.
Why this is important to the CCGs	Developing own knowledge and skills, appreciating strengths, talent and valuing diversity will enhance the service and system.	Developing the knowledge and skills of our workforce is essential to continuously improving our services and ensuring we meet the healthcare needs of the communities we serve system wide.
Behaviours to exhibit	Taking responsibility for own development. Being prepared to talk to own line manager about personal development/career aspirations. Appreciating own strengths and talents of others. Appreciating the diverse background of colleagues. Making use of own knowledge and skills.	Supporting team members to take responsibility for their own development. Discussing employee development/ career aspirations on at least an annual basis. Appreciating strengths and talents of individuals and the team, and supporting both formal and informal development. Valuing the diversity of the team whilst ensuring that all employees are respected for their talents and contribution.

Behaviours to avoid	Manipulating, intimidating or undermining others to get ahead.	Developing only the 'best' people or favourites.
	Taking no responsibility for own personal development.	Not being prepared to develop everyone.
	Being reluctant to develop any further.	Not carrying out regular 1-2-1s or annual appraisals in a timely way.
	Having no appreciation for the strengths/talents of others or the value a colleague from a diverse background can bring.	Not being open to approve secondments, acting-up or job shadowing for the benefit of the system.
How you can develop wanted behaviours	Complete free on-line psychometrics to understand your own working style.	Develop coaching and mentoring skills.
	Feel confident about what you know you do well.	Develop all colleagues, including those from a diverse background, and avoid nepotism.
	Seek opportunities to learn and develop that are cost effective.	Value diversity and evidence this in your management practice.
	Be appreciative of the diversity of experience that colleagues can bring to the team.	Avoid recruiting in your own image.
	Ask for feedback from a trusted colleague or line manager on what you do well as well as areas for development.	Build equal and trusting relationships with all of the team. Lead and manage objectively.

Dimension 9: Influencing and Communicating

Sharing good practice and successful outcomes; networking and contributing professionally to debates and decisions. Effectively communicating whilst seeking to influence the future of the service, organisation and overall system:

	Employee: Communicating and influencing to support effectiveness	Line Manager: Influencing the team and supporting the system
What this means	Showing respect for others by contributing calmly and professionally to debates which may differ to your own viewpoint. Acting as an ambassador for the organisation, building credibility and sharing practice/expertise at a service and system level. Being self-aware of your own communication style. Proactively thinking about how you can impact positively upon the service and the overall system.	Encouraging the team to contribute to debates, act as ambassadors, build credibility and share good practice/expertise at a service, organisation and system level. Encouraging the team/individuals to be self-aware and think proactively. Encouraging the team to think about how they can have a positive impact upon the service, organisation and system as a whole.
Why this is important to the CCGs	Influencing and communicating with colleagues, across teams and organisational boundaries will provide an opportunity to shape services, the organisation and the system.	Encouraging influencing and communicating with colleagues, across teams and organisational boundaries will provide an opportunity to shape services, the organisation and the system.
Behaviours to exhibit	Actively listening to what others have to say. Joining relevant networks and forums. Building supportive relationships across the system. Influencing in a respectful and thoughtful way. Working with and supporting colleagues across the system. Willingly sharing successful work examples/best practice plus	Actively listening to what employees have to say and allowing this to influence own decision making. Encouraging employees to join networks/forums and build supportive relationships across the system. Encouraging employees to be respectful of others and share their opinions/views. Actively encouraging employees to obtain examples of successful work or best practice from across the

	opinions/views. Managing emotions and self-reflecting.	system and share this (including sharing their own). Encouraging employees to value intellectual thought.
Behaviours to avoid	Being rude or sarcastic about others including their views/opinions. Ignoring the views or insights of others. Using jargon or too many acronyms. Acting in a superior or controlling way and being narrow-minded. Being anti-intellectual. Being protective and unwilling to share successful work examples/good practice.	Turning a blind eye to employees being unsupportive, superior, narrow-minded, rude or sarcastic. Allowing individuals to dominate and control. Allowing a toxic sub-culture to develop at the team level. Joining or even allowing a clique to form and dominate and control.
How you can develop wanted behaviours	Self-reflect on how you communicate. Join or even start a network that will support the service/system. Make use of social media to make connections. Appreciate that **we are all in it together.** Learn to appreciate and work with colleagues who are radically different. Ask a trusted colleague for feedback on how you communicate with others. Request a coach through East Midlands Leadership Academy.	Consider shadowing a more senior line manager or a respected peer to observe how they communicate with and influence their team. Self-reflect on how you communicate with and influence your team. Ask a trusted colleague for feedback on your communication and influencing style. Request a leadership coach through East Midlands Leadership Academy. Consider a 360 Healthcare Leadership Model assessment.

The Traffic Light Self-Evaluation Tool

Please self-evaluate against the competency framework to identify which behaviours you need to **stop**, **start** or **continue** to exhibit.

	Red: These are behaviours you need to immediately **stop** exhibiting. They are likely to be undermining your work performance and ruining your reputation. It is possible that you don't even fully realise the impact your behaviour is having.
1.	
2.	
3.	
	Amber: These are behaviours you need to **start** to exhibit because you aren't doing them and you should be. So, aim to start doing them as soon as you can. It is possible that you might be behaving like this a little but you aren't making a noticeable impact.
1.	
2.	
3.	
	Green: These are behaviours you need to **continue** to exhibit. It is also highly likely that when you behave like this you are a role model for the organisation. It is possible that you might want to continue developing these behaviours as they are so valuable to the organisation.
1.	
2.	
3.	

Instructions: Select 3 behaviours you will develop over the next 12 months?		
Dimensions/behaviours to be developed:	How will this be developed?	Completion date:
1.		
2.		
3.		

Appendix H: Pay Step Submission Review

VPD 088/093/111   **Nottingham and Nottinghamshire CCGs**   **Form HR10**

Effective Date 04/19

Please complete in black ink and block capitals

Effective Date of Change								Assignment Number								
Employing Organisation	Mansfield & Ashfield Nottingham North and East					Newark & Sherwood Rushcliffe					Nottingham City Nottingham West					
Forename								Surname								
Employee Role								AfC Grade								
Pay Step Date (formally Incremental Date)								Pay Step Review Date								
Annual Appraisal Date																

Standards for progression	Yes	No
Has the appraisal process been completed within the last 12 months and outcomes are in line with the organisation's standards?	☐	☐
Is there a formal capability process in place?	☐	☐
Is there a formal disciplinary sanction live on the staff member's record?	☐	☐
Has statutory and/or mandatory training been completed?	☐	☐
For line managers only – have appraisals been competed for all their staff as required?	☐	☐

Employee's summary			
Manager's summary			

Assessment of standards Is the pay-step approved or deferred? **Please note: If decision is deferred, the manager and employee must complete an action plan to identify requirements to meet the standards.**	Approved? ☐	Deferred? ☐
Reasons for this decision		

AUTHORISATION (For completion by Manager and Employee)

EMPLOYEE I confirm that the information given by me on this form is accurate and correct. I accept the above amendment to my Contract of Employment/contract for service/appointment letter.

Employee signature		Date						

I confirm that the information above is correct and that the change authorised is in accordance with the Agenda for Change Terms and Conditions of Employment.

	Full Name (Print)	Signature	Date [DD/MM/YY]					
Manager								
Authorised Signatory								

Please email a signed, PDF copy of the form to ncccg.hr.greaternottingham@nhs.net

Copies should be retained by the affected member of staff.

Please note any forms with insufficient information or incorrect authorisation will be returned without processing.

Appendix I – Equality Impact Assessment

Date of assessment:	July 2019			
For the policy, and its implementation, please answer the questions against each of the protected characteristic and inclusion health groups:	Has the risk of any potential adverse impact on people in this protected characteristic group been identified, such as barriers to access or inequality of opportunity?	If yes, are there any mechanisms already in place to mitigate the adverse impacts identified?	Are there any remaining adverse impacts that need to be addressed? If so, please state any mitigating actions planned.	Are there any positive impacts identified for people within this protected characteristic group? If yes, please briefly describe.
Age[1]	No	N/A	N/A	N/A
Disability[2]	Yes	Mechanisms are in place via the Communications and Engagement Team to receive the policy in a range of languages, large print, Braille, audio, electronic and other accessible formats.	N/A	N/A
Gender reassignment[3]	No	N/A	N/A	N/A
Marriage and civil partnership[4]	No	N/A	N/A	N/A

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[1] A person belonging to a particular age (for example 32 year olds) or range of ages (for example 18 to 30 year olds).

[2] A person has a disability if she or he has a physical or mental impairment which has a substantial and long-term adverse effect on that person's ability to carry out normal day-to-day activities.

[3] The process of transitioning from one gender to another.

[4] Marriage is a union between a man and a woman or between a same-sex couple.

Same-sex couples can also have their relationships legally recognised as 'civil partnerships'.

Date of assessment:	July 2019			
For the policy, and its implementation, please answer the questions against each of the protected characteristic and inclusion health groups:	Has the risk of any potential adverse impact on people in this protected characteristic group been identified, such as barriers to access or inequality of opportunity?	If yes, are there any mechanisms already in place to mitigate the adverse impacts identified?	Are there any remaining adverse impacts that need to be addressed? If so, please state any mitigating actions planned.	Are there any positive impacts identified for people within this protected characteristic group? If yes, please briefly describe.
Pregnancy and maternity[5]	No	N/A	N/A	N/A
Race[6]	No	N/A	N/A	N/A
Religion or belief[7]	No	N/A	N/A	N/A
Sex[8]	No	N/A	N/A	N/A
Sexual orientation[9]	No	N/A	N/A	N/A
Carers[10]	No	N/A	N/A	

[5] Pregnancy is the condition of being pregnant or expecting a baby. Maternity refers to the period after the birth, and is linked to maternity leave in the employment context. In the non-work context, protection against maternity discrimination is for 26 weeks after giving birth, and this includes treating a woman unfavourably because she is breastfeeding.

[6] Refers to the protected characteristic of race. It refers to a group of people defined by their race, colour, and nationality (including citizenship) ethnic or national origins.

[7] Religion refers to any religion, including a lack of religion. Belief refers to any religious or philosophical belief and includes a lack of belief. Generally, a belief should affect your life choices or the way you live for it to be included in the definition.

[8] A man or a woman.

[9] Whether a person's sexual attraction is towards their own sex, the opposite sex, to both sexes or none. https://www.equalityhumanrights.com/en/equality-act/protected-characteristics

[10] Individuals within the CCGs which may have carer responsibilities.