



## Appraisal and Development Policy

<b>Policy number and category</b>	HR17	Human Resources
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<b>Ratifying committee or executive director</b>	Transforming our Culture & Staff Experience Sub Committee	
<b>Date ratified</b>	February 2023	
<b>Next anticipated review</b>	February 2026	
<b>Executive director</b>	Patrick Nyarumbu	
<b>Policy lead</b>	Executive Director of Strategy, People and Partnerships	
<b>Policy author (if different from above)</b>	Learning & Development Consultant	
<b>Exec Sign off Signature (electronic)</b>		
<b>Disclosable under Freedom of Information Act 2000</b>	Yes	

### Policy context

We have revised our approach to appraisal and replaced the WBT methodology in order to boost staff engagement and support the delivery of our strategic objectives by adopting our refreshed values and behavioural profile. Our values-based appraisal supports the delivery of Trust strategic objectives by embedding our values and behavioural profile. We are committed to developing all staff to ensure that we have a compassionate, highly motivated and professional workforce.

### Policy requirement (see Section 2)

The appraisal discussion is focused on the health and wellbeing of the individual and the actions that can be taken to support wellbeing. All BSMHFT employees should have regular reviews to help them develop, improve and understand what needs to be achieved and what is expected of them, these reviews will be captured using the forms available via the ESR portal. The Trust will recognise and value what gets done (the achievement of objectives) and how it is done (the behaviours exhibited in line with the behavioural profile).

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## **1: INTRODUCTION**

### **1.1 Rationale (Why)**

Our new approach to appraisal is intended to support our staff to develop and contribute to the Trust's strategy to the best of their ability. We are committed to developing all staff to ensure that we have a highly motivated and professionally engaged workforce. To support this, the Trust has in place an appraisal and review system that is clearly linked to our values and behaviours and the strategic objectives of People, Sustainability, Quality and Clinical Services:

To ensure that all staff, wherever they work in the Trust, have a clear understanding of their role, how they contribute to the delivery and improvement of services and an understanding of their own development needs to achieve this, we have provided a framework to review and support individual staff. The appraisal process provides the opportunity for staff to demonstrate progress on the essential objectives set during the previous year and also consider objectives in the coming year. By raising and maintaining the performance of everyone in the trust we can ensure that:

- Our vision is delivered and that our service users experience continuous improvements.
- Our staff are able to perform their current role to the best of their ability, develop their career potential and work individually and within teams in safer and more effective ways.
- Our staff feel that they are using their skills and expertise fully and effectively. This will promote a more engaged workforce and an inclusive culture.

### **1.2 Scope**

This policy applies to all staff in the Trust, with the exception of doctors who are covered by separate job planning and revalidation processes. The principles of job planning and revalidation are fully consistent with this policy.

Bank staff and individuals employed on fixed term contracts are not covered by this policy.

The content of this policy is based on the key contractual elements of the terms and conditions of the Agenda for Change agreement and therefore this policy is compulsory and all employees who are employed under the Agenda for Change agreement must follow this policy.

The Trust is committed to ensuring this policy and its associated procedural documents are applied fairly and consistently to all employees.

Managers should refer to the Trust's Sickness Absence and Attendance Policy for any matters relating to health and wellbeing which are raised as part of the appraisal process.

### 1.3 Principles (Beliefs)

Our philosophy guides what we aspire to achieve in the development and appraisal of our staff. Everyone should understand what needs to be achieved to meet our service users' expectations and to support the Trust strategy. To this end:

- There will be regular feedback for employees in relation to their performance, with managers engaging in coaching approaches to maximise staff engagement
- Everyone will know what is expected of them via the Trust's Behavioural profile
- Everyone is encouraged to realise their full potential through Personal Development Planning. This supports the development of a learning culture through support for continued personal and professional development by undertaking lifelong learning activities
- Individual performance will normally be improved through praise for a job well done, constructive and timely feedback and by the setting of clear, challenging but achievable objectives and access to planned development opportunities.

## 2: POLICY (What)

### The principles of our policy

#### **Our staff wellbeing is important**

The appraisal discussion is focused on the health and wellbeing of the individual and the actions that can be taken to support wellbeing.

#### **There will be regular feedback and coaching conversations**

All BSMHFT employees should have regular reviews (no less frequently than every six weeks). This feedback will ensure that all individuals have feedback and coaching conversations to help them develop and improve. The outcomes of these reviews will be captured using the 1:1 forms, which are available on the Trust's web page and via the ESR portal.

#### **We value what people achieve**

The Trust will recognise and value what gets done (the achievement of objectives) and how it is done (the behaviours exhibited in line with the behavioural profile).

#### **Everyone should understand what needs to be achieved**

All BSMHFT people should know what the Trust's key priorities are for delivering mental health services. The Trust's vision and key priorities will be discussed during the annual appraisal and objectives will be expected to link to these strategic priorities.

#### **Everyone will know what is expected of them**

All BSMHFT employees should be clear about what expected performance and behaviours looks like for their job and should be supported to meet those expectations. Employees will be expected to deliver against their job description; they may also be set objectives that will represent specific work-related objectives that need to be achieved in the coming 12 months. Appraisal is an ongoing process

and the annual meeting is a summative meeting supported by the principle of no surprises on both sides.

### **Individual's work objectives will be agreed**

The appraisal is an opportunity for staff and their managers to jointly discuss and reflect on the success and achievement of the past year and to explore any reason why some work targets or objectives have not yet been achieved. It ensures that staff and their managers have time to discuss and determine what work based and other learning opportunities would support the individual to successfully achieve their objectives and career aspirations, leading to an individually tailored personal development plan for all employees.

Any additional objectives will be agreed with the individual and these should reflect the Trust and team objectives. They should be stretching but achievable. They will be measurable and individuals should be clear on success criteria for meeting objectives by adopting the SMART methodology.

## **3: PROCEDURE**

### **The performance management cycle**

#### **3.1. Annual appraisal**

All employees will have an annual appraisal with their line manager (or delegate). New starters will have a one-to-one with their line manager within the first month of employment to discuss and agree objectives and will have their first full appraisal no longer than 3 months later. The Trust will support the time needed for reviewers and staff to invest in ensuring the effectiveness and recognition of the importance of all aspects of the appraisal process.

All reviewers will be expected to be competent in undertaking appraisals and to be responsible for participating in any update training or learning activity required to develop or maintain their competence. All reviewers will be supported in and given the opportunity to develop the knowledge and skills that they need to successfully manage the performance of their staff via the Core Leadership Programme. All staff have access to support documents and resources to guide them through the new appraisal process so that they can maximise the benefit of undertaking their appraisal. All staff are expected to take an active role in the appraisal process, including preparing for the discussion, working towards agreed objectives and implementing their personal development plan. In the revised appraisal process staff are expected to take the lead and prepare thoroughly before the appraisal discussion takes place.

It supports the principle of equity and equality of access to appropriate learning and development opportunities regardless of pay band, full or part time status, hours of

work, gender, age, sexual orientation, ethnicity, disability or religious or spiritual beliefs. This appraisal will be completed using the Trust's appraisal forms (ESR).

The annual appraisal and development review will:

- Encourage a discussion about their health and wellbeing and agree an action plan
- Capture what staff would like to discuss during their appraisal and enable them to reflect upon their contribution over the previous 12 months
- Measure how employees are performing against the job role and identify talent and potential for further advancement and specific development
- Assess any development needs and requirements
- Set objectives in line with the organisational priorities
- Measure achievement against objectives
- Measure achievement against the Trust's values and behavioural profile
- Capture what personal development they have undertaken in the previous 12 months and confirm what development needs individuals have in order to reach their peak performance
- Record current professional competencies required by their job role
- Allow the staff member to provide their manager with feedback on the type of management support that would help them to maximise their contribution to the team

### **3.2. One-to-One Review**

All employees will have regular meetings with their line manager. This regular meeting should be no less frequent than once every 6 weeks and will be carried out by using the Trust's 1:1 form (see appendices). The regular supervision meeting (1:1) will be evidenced based and will:

- Review how employees are performing against the job role (including discussing examples of actual pieces of work)
- Identify any support, development or intervention needs required to assist the employee in achieving the requirements of the job
- Review how employees are achieving against their objectives
- Review how employees are demonstrating the Trust values and achieving against the behavioural profile
- Explore their career pathway and development aspirations
- Check fundamental training is up-to-date and discuss the staff member's health and wellbeing

The 1:1 supervision meeting would normally be conducted separately to clinical supervision or caseload review however these 3 elements could be combined into one meeting if appropriate and when agreed with the employee being supervised. It is envisaged that this conversation will take 30 mins.

### **3.3. Recognition**

Employees will be recognised by their managers and feel valued for delivering quality services that deliver our Trust vision of improving mental health wellbeing and consistently demonstrating our values: compassionate, inclusive and committed.

### **3.4. Performance that falls below an accepted standard**

In circumstances where, despite management support, employees are performing below the expected requirement for the job and there is clear evidence to question their capability to do the job then employees will, after careful review, be referred to the capability process outlined below.

### **3.5. The Capability Process – Performance**

Poor performance is defined as an employee who consistently fails to achieve the required standard, usually because their performance is unacceptable, objectives are not met or competencies are not demonstrated.

Standards for work are laid out both in the job description for the role and also as part of the annual appraisal and development review process with the line manager.

Employees who consistently fail to achieve the required standard will have their capability reviewed under the capability process.

For professional staff groups covered by separate fitness to practice policies, advice should be sought as to whether performance concerns sustained over a period of time should be dealt with under those policies or the capability process below.

#### **Formal stage**

If performance concerns have been raised at a minimum of two management supervision meetings and managers can evidence attempts to address performance informally, then the formal stage of the capability process will begin.

The employee will be invited to attend a formal meeting chaired by a senior manager and supported by a human resources officer. The meeting will be conducted in line with the process for conducting disciplinary hearings and include a right to representation.

The penalties that may be awarded include:

- No formal action to be taken.
- Notice to improve: A formal notice to improve is issued which will contain details of the performance problem, the improvement that is required and the timescale for achieving this improvement (this should be between one and three months).

If following a notice to improve an employee's performance does not improve to the required standard within the timeframe stipulated, then the employee will move to the final stage of the process.

#### **Final formal stage**

The employee will be invited to attend a formal hearing chaired by a manager with the authority to dismiss. The hearing will be conducted in line with the process for conducting disciplinary hearings and include a right to representation.

The outcomes of the meeting may include:

- No action to be taken.
- Dismissal (on the grounds of capability).
- Panel recommendation: The panel may make a recommendation that is short of dismissal, such as downgrading, or issue a further notice to improve.

### **Pay Progression**

Pay progression is directly impacted by capability and performance, see the [Pay Progression policy](#) for details.

### **Appeals**

Employees have a right of appeal against dismissal or downgrading. If an employee wishes to lodge an appeal they should do so by following the appeals process, a copy of which can be found on the Trust web page.

## **4: RESPONSIBILITIES**

We all need to be clear on what expected practice is and what our roles in achieving that are.

**All Staff** will be expected to take responsibility to achieve the requirements of their job by:

- Creating their appraisal form within ESR and preparing for their appraisal meeting
- Taking up the opportunity to participate in relevant appraisal training
- Ensuring they fully understand their job responsibilities and the knowledge and skills requirements for their post by keeping their mandatory and statutory training requirements up to date
- Participating fully in their appraisal meeting
- Recording that their appraisal has taken place via ESR and completing the relevant Values-Based Appraisal documentation
- Taking responsibility for undertaking actions agreed in the appraisal and work to progress agreed objectives. Furthermore, alerting their line manager to any barriers in achieving their objectives or learning activities in the agreed time frames
- Developing and maintaining evidence of competence and achievements
- Taking responsibility for their own learning as identified in their personal development plan and keeping up to date CPD/training records
- Using the ESR portal staff can create a journal which allows them to upload evidence to support their appraisal journey. It can be used to store any electronic evidence they would wish such as feedback emails and certificates
- Raising any concerns regarding the appraisal process with their Line Manager in the first instance and escalate if required
- Asking for support and direction if they are not clear of expectations. Support and guidance is available for all staff from the Trust's Leadership and Development Department / HR People Partners and People Advisors



- Attending work in accordance with the requirements of their role and rota and meeting the requirements of their job role and undertaking additional objectives where required and appropriate
- Acting in a way that reflects the Trust's values and behavioural profile

**Managers** will be expected to:

- Ensure that appraisals take place within their team in line with this policy.
- Undertake 1:1 review meetings with their direct reports
- Make clear the expectations of the job role, objectives and behaviours
- Set clear and measurable objectives with clearly defined success criteria
- Make provision for appropriate and relevant development and coaching to support employees becoming the best they can be
- Manage talent where appropriate by utilising the Trust's talent management and succession strategy
- Ensure that ESR accurately reflects the current structure of their team
- Ensure that all reviewers in their areas are competent to carry out appraisals and that they undertake any update training or development of their skills and knowledge to maintain their competence
- Delegate responsibility for undertaking appraisals, if appropriate, to staff within their team structure
- Ensure that all staff are clear who will be undertaking their appraisal and that all reviewers in their area understand their responsibilities for appraisal reviews
- Ensure that all reviewers new to the appraisal process have undertaken the appropriate training provided by the Trust Learning and Development Team (Leadership and Development Department)
- Understand the link between corporate/ departmental/ directorate and team objectives and the work of individuals in their teams
- Ensure that appraisals are completed in a timely fashion and are accurately recorded within ESR
- Actively manage performance that is below standard

### **Responsibility of Divisional Directors/ Deputy Directors/ Heads of Service/ Departments**

- Implementing and monitoring the appraisal process in their Division/ Directorate/ Department to ensure that every member of staff has an appraisal conversation on an annual basis
- Ensuring that their individual Performance Development Review process is clearly linked to Strategic/ Corporate and Divisional/ Department/ team objectives
- Ensuring all staff in their Division/ Directorate/ Department have up-to-date job descriptions, KSF outlines and clear objectives/ work plans.
- Identifying managers/ supervisors in their Division/ Directorate/ Department, who will be responsible for carrying out the appraisal meetings. Ensure each reviewer is aware of which staff they are responsible for reviewing.
- Ensure that all reviewers are competent in undertaking appraisals before reviews are undertaken.

- Ensure that PDR takes place within their Division/ Directorate/ Department according to the process in this policy and that the policy is applied fairly and consistently to all employees.
- All Deputy Directors of Performance and Departmental Heads will receive regular reports on appraisal compliance in their area which should be cascaded locally to all ward/ department/ team managers.
- Ensuring that the completion of each appraisal is accurately recorded via ESR and reported within agreed timeframes.

### **Others**

- The Clinical Governance Committee will provide a clear policy and framework to support managers and employees in the managing performance process
- The Executive Director of Resources will make clear the organisation's goals and priorities and communicate them clearly
- All Directors will support managers and employees in the process so that we can achieve our vision of getting better together
- The Associate Director of Human Resources will create documentation to make the process simple to follow and fit for purpose, updating the forms as necessary.
- The Associate Director of Human Resources will be responsible for providing support and advice to managers and staff on the application of the policy and procedure
- The Associate Director of Human Resources is responsible for ensuring that the policy is implemented and monitored on a Trust-wide basis for those staff that fall under the scope of the policy via regular reports to the Workforce forum
- The Associate Director of Human Resources will ensure that the policy is reviewed within the appropriate timeframe and that it is presented to the relevant Committee for approval.

## **5: DEVELOPMENT AND CONSULTATION PROCESS**

In accordance with the National Agenda for Change agreement, each member of staff employed under Agenda for Change terms and conditions must have an annual appraisal and ideally, one interim review within that year, which is optional but recommended. The initial appraisal should normally take place within the first three months of employment and will be an opportunity to agree work priorities, ensure understanding of the new starter's role within the team and organisation, identify relevant personal development and discuss health and wellbeing. A full appraisal should take place 12 months later.

Where an individual does not agree with the outcome of their appraisal they can appeal in writing to their reviewer's manager.

The appraisal meeting process will normally follow the format outlined in the appraisal guidance documents available on the Trust's intranet.

The policy and documentation has been developed following extensive consultation with staff, managers, medics and Trade Union partners across the organisation. A broad range of staff have been fully involved in:

- Setting the design criteria for the policy and documents
- Designing the documents
- Agreeing the policy content
- Piloting the documents

<b>Consultation summary</b>		
<b>Date policy issued for consultation</b>	13/12/2021	
<b>Number of versions produced for consultation</b>	1	
<b>Committees / meetings where policy formally discussed</b>	<b>Date(s)</b>	
<ul style="list-style-type: none"> <li>• JOSC</li> <li>• Local CGCs.</li> <li>• PAC</li> <li>• AHPAC</li> </ul>		
<b>Where received</b>	<b>Summary of feedback</b>	<b>Actions / Response</b>

## **6: Reference documents**

- Our Trust five year strategy
- Our Trust Values
- Everyday and detailed behaviours guide

## **7: Bibliography:**

No documents

## **8: Glossary:**

None to be listed

## **9: AUDIT AND ASSURANCE**

Extensive training will be conducted for both appraising and appraised staff during the roll-out of the new format appraisal and 1:1 forms.

An evaluation of the revised appraisal and 1:1 forms will be conducted within 9 months of the launch to ascertain if the revised forms and processes are being used effectively.

After 18 months the forms will be revised to take into account any feedback from managers and staff.

Assurance that the policy is being complied with will be measured by:

Element to be monitored	Lead	Tool	Frequency	Reporting Committee
Numbers and frequency of ADRs being undertaken	L&D	Management report generated by IT	Bi-annually	Workforce Committee
Degree of engagement and quality of completion	L&D	Random review of the Quality of ADR completion	Annually	Workforce Committee
The perception of staff, of the value of ADR and RMS	L&D/HR	Annual Staff survey	Annually	Workforce Committee

**10. Appendices** consisting of:

Appendix 1- Equality assessment (Equality Analysis Screening Form and Full Equality Analysis Form)

Appendix 2- 1:1 Form (Regular Management Supervision Form)

Appendix 3- BSMHFT Everyday and detailed behaviours guide

## Equality Analysis Screening Form

A word version of this document can be found on the HR support pages on Connect

<http://connect/corporate/humanresources/managementsupport/Pages/default.aspx>

<b>Title of Proposal</b>	Appraisal Policy			
<b>Person Completing this proposal</b>	James Hart	<b>Role or title</b>	L&D Consultant	
<b>Division</b>	Learning and Development	<b>Service Area</b>	People and OD	
<b>Date Started</b>	Nov 2021	<b>Date completed</b>	24 <sup>th</sup> Jan 2023	
<b>Main purpose and aims of the proposal and how it fits in with the wider strategic aims and objectives of the organisation.</b>				
To boost staff engagement and support the delivery of our strategic objectives by adopting our refreshed values and behavioural profile. We are committed to developing all staff to ensure that we have a highly motivated and professional workforce.				
<b>Who will benefit from the proposal?</b>				
The appraisal process and the policy will benefit all staff that are employed under the terms of Agenda for Change. The appraisal process is designed to be supportive and engaging for all staff.				
<b>Impacts on different Personal Protected Characteristics – Helpful Questions:</b>				
<i>Does this proposal promote equality of opportunity?</i> <i>Eliminate discrimination?</i> <i>Eliminate harassment?</i> <i>Eliminate victimisation?</i>		<i>Promote good community relations?</i> <i>Promote positive attitudes towards disabled people?</i> <i>Consider more favourable treatment of disabled people?</i> <i>Promote involvement and consultation?</i> <i>Protect and promote human rights?</i>		
<b>Please click in the relevant impact box or leave blank if you feel there is no particular impact.</b>				
<b>Personal Protected Characteristic</b>	<b>No/Minimum Impact</b>	<b>Negative Impact</b>	<b>Positive Impact</b>	<b>Please list details or evidence of why there might be a positive, negative or no impact on protected characteristics.</b>
Age		x		As part of the Equality Act – Age is a protected characteristic and is collated through our recruitment process. It is possible that the policy will have a small impact on age discrimination despite the policies intention that all employees should be treated in a fair, reasonable and consistent manner irrespective of their age. It is possible that staff will engage less with the appraisal process as they approach retirement,

				<p>staff may not see the importance of the process as they prepare to leave the organisation. The responsible manager should make every effort to engage with all staff irrespective of their age.</p> <p>Staff may also experience reduced access to development as they approach retirement age, the policy does not support this and all staff should have equal access to development irrespective of their age.</p>
<p>Including children and people over 65</p> <p>Is it easy for someone of any age to find out about your service or access your proposal?</p> <p>Are you able to justify the legal or lawful reasons when your service excludes certain age groups</p>				
<b>Disability</b>		x		<p>WDES Data is showing 4.7% colleagues across our Trust have long-term condition or illness. Currently we have the Disability and Neuro Diversity Staff Network Group who currently support staff with disability. We also support staff with Reasonable adjustment with the Government 'Access to Work' Grant. The policy supports and promotes the fair and equitable access to appraisal and development for all staff, irrespective of their disability. However, the process of completing an appraisal is embedded within ESR and this may pose accessibility issues to staff that have difficulties accessing computers, utilising computer screens or standard keyboards, and/or reading/writing.</p> <p>Every effort needs to be made by the manager and the Trust to support staff appropriately and to make reasonable adjustments to enable access to the appraisal process, this is dependent on the individual feeling comfortable about being open about their disability especially where this may be a hidden disability or mental health issues.</p>
<p>Including those with physical or sensory impairments, those with learning disabilities and those with mental health issues</p> <p>Do you currently monitor who has a disability so that you know how well your service is being used by people with a disability?</p> <p>Are you making reasonable adjustment to meet the needs of the staff, service users, carers and families?</p>				
<b>Gender</b>	x			<p>Currently gender is collated and there is a disparity around gender pay gap overall with an increase from 6.99% to 11.17%. It is anticipated that gender will not have a negative impact in terms of discrimination as this policy ensures that all employees should be treated in a fair, reasonable and consistent manner irrespective of their gender identity.</p>
<p>This can include male and female or someone who has completed the gender reassignment process from one sex to another</p> <p>Do you have flexible working arrangements for either sex?</p>				

Is it easier for either men or women to access your proposal?				
<b>Marriage or Civil Partnerships</b>	x			Although this is a protected characteristic, this is not recorded. It is anticipated that marriage or civil partnership will not have a negative impact in terms of discrimination as this policy ensures that all employees should be treated in a fair, reasonable and consistent manner irrespective of their marriage or civil partnership. This is dependent on staff feeling comfortable about being open about their Marriage or Civil Partnership
People who are in a Civil Partnerships must be treated equally to married couples on a wide range of legal matters Are the documents and information provided for your service reflecting the appropriate terminology for marriage and civil partnerships?				
<b>Pregnancy or Maternity</b>	x			Although this is a protected characteristic, this is not recorded. It is anticipated that pregnancy and maternity will not have a negative impact in terms of discrimination as this policy ensures that all employees should be treated in a fair, reasonable, and consistent manner irrespective of this. However, the Trust will provide necessary support and reasonable adjustment for an employee who is pregnant or on maternity, paternity or adoption leave and this may be pausing the appraisal and development process temporarily. This is dependent on staff feeling comfortable about being open about their or their partners pregnancy, including miscarriage. The Trust has started Women's Network, these matters can be discussed and shared there. Managers should ensure that staff access to appraisal and development opportunities are not negatively impacted due to pregnancy or maternity and that appropriate communication is maintained during those times as described in the relevant policy.
This includes women having a baby and women just after they have had a baby Does your service accommodate the needs of expectant and post-natal mothers both as staff and service users? Can your service treat staff and patients with dignity and respect in relation to pregnancy and maternity?				
<b>Race or Ethnicity</b>			x	Our WRES Data shows that our black and minority ethnic workforce representation is 37% and in 2021 we showed a small increase on the 35% reported in 2020. There are current workstreams underway highlighting the disparities and the EDI teams are working with specific areas. It is anticipated that Race or Ethnicity will not have a negative impact in terms of discrimination as this policy ensures that all

				employees should be treated in a fair, reasonable and consistent manner irrespective of this. This is also dependent on staff feeling comfortable about being open about their heritage or refugee status. It is anticipated that the change to the appraisal form will encourage open conversations and provide an additional route for staff to raise their concerns about unfair and discriminatory practise.
Including Gypsy or Roma people, Irish people, those of mixed heritage, asylum seekers and refugees What training does staff have to respond to the cultural needs of different ethnic groups? What arrangements are in place to communicate with people who do not have English as a first language?				
<b>Religion or Belief</b>	x			Although this is a protected characteristic, we have some recorded data and this is subject to staff sharing this with the Trust. The Trust will provide necessary support and reasonable adjustment for an employee and we also have the Spiritual Care Team. It is anticipated that religion or belief will not have a negative impact in terms of discrimination as this policy ensures that all employees should be treated in a fair, reasonable and consistent manner irrespective of this. This is also dependent on staff feeling comfortable about being open about their religion or belief. We have flexible working policies in place to support staff if they require.
Including humanists and non-believers Is there easy access to a prayer or quiet room to your service delivery area? When organising events – Do you take necessary steps to make sure that spiritual requirements are met?				
<b>Sexual Orientation</b>			x	Although this is a protected characteristic we have some recorded data, this is subject to staff sharing this information. We currently have LGBTQ Staff Network who meet regularly where information is shared. It is anticipated that sexual orientation will not have a negative impact in terms of discrimination as this policy ensures that all employees should be treated in a fair, reasonable and consistent manner irrespective of this. It is anticipated that the change to the appraisal form will encourage open conversations and provide an additional route for staff to raise their concerns about unfair and discriminatory practise.
Including gay men, lesbians and bisexual people Does your service use visual images that could be people from any background or are the images mainly heterosexual couples?				



Does staff in your workplace feel comfortable about being 'out' or would office culture make them feel this might not be a good idea?				
<b>Transgender or Gender Reassignment</b>			x	<p>Although this is a protected characteristic, this is not recorded. It is anticipated that Transgender or Gender Reassignment will not have a negative impact in terms of discrimination as this policy ensures that all employees should be treated in a fair, reasonable and consistent manner irrespective of this. This is also dependent on staff feeling comfortable about being open about their being Transgender or undergoing Gender Reassignment There is also a Trans and Non Binary Policy to support this.</p> <p>It is anticipated that the change to the appraisal form will encourage open conversations and provide an additional route for staff to raise their concerns about unfair and discriminatory practise</p>
This will include people who are in the process of or in a care pathway changing from one gender to another Have you considered the possible needs of transgender staff and service users in the development of your proposal or service?				
<b>Human Rights</b>	x			<p>This policy is written to promote equality and remove any discrimination to ensure that everyone can fulfil their full potential within a Trust that is inclusive, compassionate, and committed. This is in line with our Trust values, the NHS People's Plan commitment to equality, diversity and inclusion and reflects the provisions of the Equality Act 2010.</p> <p>It is anticipated that the change to the appraisal form will encourage open conversations and provide an additional route for staff to raise their concerns about unfair and discriminatory practise</p>
Affecting someone's right to Life, Dignity and Respect? Caring for other people or protecting them from danger? The detention of an individual inadvertently or placing someone in a humiliating situation or position?				
<b>If a negative or disproportionate impact has been identified in any of the key areas would this difference be illegal / unlawful? I.e. Would it be discriminatory under anti-discrimination legislation. (The Equality Act 2010, Human Rights Act 1998)</b>				
	<b>Yes</b>		<b>No</b> ✓	

What do you consider the level of negative impact to be?	High Impact	Medium Impact	Low Impact	No Impact
			x	
<p>If the impact could be discriminatory in law, please contact the <b>Equality and Diversity Lead</b> immediately to determine the next course of action. If the negative impact is high a Full Equality Analysis will be required.</p>				
<p>If you are unsure how to answer the above questions, or if you have assessed the impact as medium, please seek further guidance from the <b>Equality and Diversity Lead</b> before proceeding.</p>				
<p>If the proposal does not have a negative impact or the impact is considered low, reasonable or justifiable, then please complete the rest of the form below with any required redial actions, and forward to the <b>Equality and Diversity Lead</b>.</p>				
<p><b>Action Planning:</b></p>				
<p>How could you minimise or remove any negative impact identified even if this is of low significance?</p>				
<p>The policy and appraisal process will be reviewed regularly to monitor the areas of negative impact and appropriate action will be taken. Support processes and measures are constantly reviewed by the Learning and Development team to support staff in the completion of their appraisal and 1:1's, with staff feedback methods guiding the review process. Learning and Development will work closely with staff network groups and partners across the sector to make all reasonable adjustment required.</p>				
<p>How will any impact or planned actions be monitored and reviewed?</p>				
<p>Impacts are currently reviewed on a weekly basis to ensure effective monitoring and responses.</p>				
<p>How will you promote equal opportunity and advance equality by sharing good practice to have a positive impact other people as a result of their personal protected characteristic.</p>				
<p>Learning and Development will continue to work closely with staff network groups and partners, sharing information and lessons learnt.</p>				
<p>Please save and keep one copy and then send a copy with a copy of the proposal to the Senior Equality and Diversity Lead at <a href="mailto:bsmhft.hr@nhs.net">bsmhft.hr@nhs.net</a>. The results will then be published on the Trust's website. Please ensure that any resulting actions are incorporated into Divisional or Service planning and monitored on a regular basis.</p>				

### Full Equality Analysis Form

<b>Title of Proposal</b>	<b>Appraisal Policy</b>		
<b>Person Completing this proposal</b>	<b>James Hart</b>	<b>Role or title</b>	L&D Consultant
<b>Division/Department</b>	<b>Learning and Development</b>	<b>Service Area</b>	People and Partnerships
<b>Date Started</b>	<b>Nov 2021</b>	<b>Date completed</b>	Jan 2023
Looking back at the screening tool, in what areas are there concerns that the proposal treats groups differently, unfairly or disproportionately as a result of their personal protected characteristics?			
<p>The Policy is designed to be inclusive and supportive of all staff that are managed under the terms of Agenda for Change. Every member of staff will have a yearly appraisal that is designed to support them, develop them, maximise their and the Trusts effectiveness and to make the Trust a place where people feel valued.</p> <p>The reviewer is expected to abide fully with national guidance and Trust policy concerning Equality, Inclusion and Human Rights and will act fairly with regard to career progression/promotion, regardless of ethnic background, gender, religion, sexual orientation, disability or age.</p>			
<b>Summarise the likely negative impacts</b>		<b>Summarise the likely positive impact</b>	
<p>Staff disability may impact the completion of the appraisal</p> <p>Staff may have access restrictions due to availability of computers</p>		<p>Staff feel valued and understood</p> <p>Career progression is an active part of staff lives</p> <p>Everyone is encouraged to realise their full potential through Personal Development Planning</p> <p>Centralised monitoring and data collection to ensure quality</p> <p>Moving to a staff led appraisal is a significant culture change which may impact engagement from staff</p>	
<b>What previous or planned consultation or research on this proposal has taken place with groups from different sections of the community?</b>			
		<b>Please provide list of groups consulted.</b>	<b>Summary of consultation / research carried out or planned. If already carried out, what does it tell you about the negative impact?</b>
<b>Group(s) (Community, service user, stakeholders or carers</b>			

<b>Staff Group(s)</b>		<ul style="list-style-type: none"> <li>• JOSC</li> <li>• Local CGCs.</li> <li>• PAC</li> <li>• AHPAC</li> </ul>		
<b>What up-to-date information or data is available about the different groups the proposal may have a negative impact on?</b>				
In the 2019/2020 staff survey it was highlighted that staff from a BAME background were less likely to access career progression based training. While this policy update hasn't significantly changed the process for staff it is more focused around the Trust values and strives to promote equality and inclusion across the organisation.				
<b>Are there any gaps in your previous or planned consultations, research or information? If so are there any other experts, groups that could be contacted to get further views or evidence?</b>				
<b>Yes</b>		<b>No</b>	x	
<b>If yes please list below</b>				
<b>As a result of this Full Equality Analysis and consultation, what changes need to be made to the proposal? (You may wish to put this information into an action plan and attach to the proposal)</b>				
Explore options to improve accessibility to the appraisal system (ESR) and process (form) in collaboration with staff networks and partners.				
<b>Will any negative impact now be:</b>				
<b>Low:</b>	x	<b>Legal:</b>	x	<b>Justifiable:</b> x
<b>Will the changes made ensure that any negative impact is lawful or justifiable?</b>				
N/A				

<b>Have you established a monitoring system and review process to assess the successful implementation of the proposal? Please explain how this will be done below.</b>
<p>An evaluation of the revised appraisal and 1:1 forms will be conducted within 9 months of the launch to ascertain if the revised forms and processes are being used effectively.</p> <p>After 18 months the forms will be revised to take into account any feedback from managers and staff</p> <p>During the first 6 months there will be weekly monitoring via the Learning and Development project team to respond to concerns and issues</p> <p>Appraisal inbox (email) created to monitor staff concerns (monitored Monday to Friday, 9am to 5pm, normal working weeks)</p>
<b>Action Planning: How could you minimise or remove any negative impact identified even if this is of low significance?</b>
Continue to work with staff network groups and partners to resolve issues and impacts as quickly as possible and to enable staff to feel supported.
<b>How will any impact or planned actions be monitored and reviewed?</b>
As above
<b>How will you promote equal opportunity and advance equality by sharing good practice to have a positive impact other people as a result of their personal protected characteristic?</b>
Learning and Development will continue to work closely with staff network groups and partners, sharing information and lessons learnt.

Please save and keep one copy and then send a copy with a copy of the proposal to the Senior Equality and Diversity Lead at [bsmhft.hr@nhs.net](mailto:bsmhft.hr@nhs.net). The results will then be published on the Trust's website. Please ensure that any resulting actions are incorporated into Divisional or Service planning and monitored on a regular basis.

Appendix 3

## 1-2-1 Form

The one-to-one process underpins the yearly BSMHFT appraisal process. Both are in place to enable all staff to have meaningful conversations about work and wellbeing matters within protected time. Good team practice involves individuals having developmental conversations routinely, this form is a tool to capture some of that detail and allow for planning any future actions. It will provide you with an opportunity to offer your perspective and gain your manager’s perspective based on feedback from observations of behaviours in line with Trust values.

*If you require any additional guidance about the appraisal process and one to one please [Click here to visit our intranet site](#)*

### Your 1-2-1

#### **Thinking about your own health and wellbeing.**

How are things? Is there anything that you want to or that you feel is important to talk about regarding your health and wellbeing? This can also be things that are working well.

Please, use your own words to explain;

Free text

If you don’t feel able to speak about the area highlighted in full now, would you like to discuss it at another time?

[Click here to enter a date.](#)

**Please, use your own words to explain;**

Free text

**Are you up to date with your Fundamental Training?**

Training as of dd/mm/yyyy		
Competency	Status	Last completed

Do you need to discuss if anything is out of date? Choose an item.

free text

Plan to complete/ what further support is required

free text	Review date: [dd/mm/yyyy]
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**Review outcomes, Priorities and the Trust Values**

Think your main priorities, including development objectives and reflect on how you will use the Trust values in your role. How do you show **Compassion, Inclusivity and Commitment** in the work you do? Explore the reasons behind your progress.

**What's going well for you and why?**  
free text

**What could be going better for you and why?**  
free text

**Your Development**

Thinking about your future: are you happy in your current role, seeking more responsibility, promotion, a new role or something else? Have a think about what you can do to achieve this:

free text

**What support, if any, could help you improve further and achieve your goals?** Would things like; Coaching, Mentorship, functional skills, shadowing, apprenticeship, internal or external courses or a secondment help?

Free text

**Is there anything that you would like to discuss that hasn't been covered?**

Free text

Manager feedback/summary:

Free text

**Are you happy that this 1 to 1 has met your needs?**

Choose an item



**Do you feel that your health and wellbeing has been fully considered?**

Choose an item



**Do you feel that you have had enough opportunity to explore your development?**

Choose an item





Appendix 5- BSMHFT Everyday and detailed behaviours guide

**Everyday behaviours guide**

<b>Our Values</b>	<b>Compassionate</b>	<b>Inclusive</b>	<b>Committed</b>
<p><b>Supporting statements</b></p> <p>These statements expand on the values to broaden their meaning.</p>	<ul style="list-style-type: none"> <li>● Supporting recovery for all and maintaining hope for the future</li> <li>● Being kind to ourselves and others</li> <li>● Showing empathy for others and appreciating vulnerability in each of us</li> </ul>	<ul style="list-style-type: none"> <li>● Treating people fairly, with dignity and respect</li> <li>● Challenging all forms of discrimination</li> <li>● Valuing all voices so we all feel we belong</li> </ul>	<ul style="list-style-type: none"> <li>● Striving to deliver the best work and keeping service users at the heart</li> <li>● Taking responsibility for our work and doing what we say we will</li> <li>● Courage to question to help us learn, improve and grow together</li> </ul>
<p><b>5 Core Behaviours</b></p> <p>The behaviours describe what our values look like in practice, i.e. it's how we demonstrate our values.</p> <p>These are the core top 5 behaviours for each of our values.</p>	<ol style="list-style-type: none"> <li>1. Use strategies to manage my emotions to avoid creating a negative atmosphere</li> <li>2. Offer forgiveness and do not judge others or myself harshly when we get things wrong</li> <li>3. Notice when someone is struggling and offer help</li> <li>4. Focus on finding a solution and do not blame the person responsible</li> <li>5. Look for, and praise, the achievements and contributions of other people</li> </ol>	<ol style="list-style-type: none"> <li>1. Treat everyone with respect irrespective of their perceived difference (i.e. beliefs, background, characteristics, culture, role or circumstance)</li> <li>2. Respect other people's personal space, privacy and dignity</li> <li>3. Privately and sensitively challenge my own behaviours or those demonstrated by others, that are not in line with our values</li> <li>4. Involve others to develop a shared understanding of what needs to change</li> <li>5. Proactively and willingly share relevant information with others</li> </ol>	<ol style="list-style-type: none"> <li>1. Proactively identify what needs to happen to get the job done</li> <li>2. Own up to my mistakes without delay, apologise and take responsibility for putting them right</li> <li>3. Share my concerns with appropriate people to find a resolution</li> <li>4. Balance service user (or internal customer) needs with resources available when making decisions</li> <li>5. Check to ensure service users (or internal customers) are happy with the service received</li> </ol>
<p><b>Leadership Behaviours</b></p> <p>These are for our people leaders in addition to the core behaviours above.</p>	<ol style="list-style-type: none"> <li>1. Enable people to work in a way that balances BSMHFT's objectives and suits them as an individual</li> <li>2. Put people's wellbeing and needs ahead of my goals</li> <li>3. Check in regularly with direct reports, to ask how things are and to offer support</li> </ol>	<ol style="list-style-type: none"> <li>1. Include those affected when creating plans</li> <li>2. Coach people to identify issues and create their own solution without imposing my own ideas</li> <li>3. Ensure people have the required training, knowledge, skills, time and space to do their work comfortably and safely</li> </ol>	<ol style="list-style-type: none"> <li>1. Build a strategy that is clearly aligned with anticipated future service user needs</li> <li>2. Find opportunities for people to use and develop their strengths</li> <li>3. Seek regular feedback on my leadership style and make adjustments to suit my people</li> </ol>
<p><b>Negative Impact Behaviours</b></p> <p>These behaviours describe things that often have a negative impact on others and therefore, are what we don't want to see or experience.</p>	<p><b>Non-compassionate behaviours</b></p> <ul style="list-style-type: none"> <li>➤ Not listening to others</li> <li>➤ Failing to realise and accept, or ignoring the negative impact of your behaviour on others</li> <li>➤ Using force, coercion or power to bully or impose</li> </ul>	<p><b>Non-inclusive behaviours</b></p> <ul style="list-style-type: none"> <li>➤ Dismissing other people's experiences or views, as untrue or unimportant</li> <li>➤ Being rude, using inappropriate banter or making discriminatory/derisory comments about others</li> <li>➤ Pretending other people's work was done by you and taking the credit for it.</li> </ul>	<p><b>Non-committed behaviours</b></p> <ul style="list-style-type: none"> <li>➤ Ignoring issues, saying they are somebody else's problem</li> <li>➤ Dismissing feedback about service user or staff care</li> <li>➤ Not involving service users and their families in care and service decisions</li> </ul>

<h2>Compassionate</h2>	
<ul style="list-style-type: none"> <li>• Supporting recovery for all and maintaining hope for the future</li> <li>• Being kind to ourselves and others</li> <li>• Showing empathy for others and appreciating vulnerability in each of us</li> </ul>	
<p><b>Core Compassionate Behaviours</b></p> <ol style="list-style-type: none"> <li>1. Use strategies to manage my emotions to avoid creating a negative atmosphere</li> <li>2. Offer forgiveness and do not judge others or myself harshly when we get things wrong</li> <li>3. Notice when someone is struggling and offer help</li> <li>4. Focus on finding a solution and do not blame the person responsible</li> <li>5. Look for, and praise, the achievements and contributions of other people</li> <li>6. Only take on work that I have the resources and ability to do</li> <li>7. Ask for and accept help when needed</li> <li>8. Take other people's feelings into account and adapt my approach accordingly</li> <li>9. Do not gossip about my role, BSMHFT or other people</li> <li>10. Take care of my physical and mental health and well-being</li> <li>11. Notice other people's feelings and offer emotional support and comfort</li> <li>12. Notice conflict and help those involved to resolve and move on</li> <li>13. Make things as easy as possible for the service user or internal customer</li> <li>14. Encourage others to take care of their physical and mental health</li> <li>15. Help others when their reactions are negative to find balance</li> <li>16. Patiently help people understand the reasons for and benefits of change by addressing their individual concerns</li> </ol>	<p><b>Negative Impact Behaviours</b>  <b>Non-compassionate behaviours</b></p> <ul style="list-style-type: none"> <li>• Not listening to others</li> <li>• Failing to realise and accept, or ignoring the negative impact of your behaviour on others</li> <li>• Using force, coercion or power to bully or impose</li> <li>• Ignoring facts and data that do not fit with your pre-conceived views</li> <li>• Taking out frustrations or anger on others</li> </ul>
<p><b>Leadership Compassionate Behaviours (In addition to the core behaviours above)</b></p> <ol style="list-style-type: none"> <li>1. Enable people to work in a way that balances BSMHFT's objectives and suits them as an individual</li> <li>2. Put people's wellbeing and needs ahead of my goals</li> <li>3. Check in regularly with direct reports, to ask how things are and to offer support</li> <li>4. Support and encourage people to achieve their goals</li> <li>5. Share people resources and skills for the benefit of the individual and BSMHFT</li> <li>6. Keep people informed about changes of direction and the reasons why</li> </ol>	<p><b>Leadership non-compassionate behaviours (In addition to those above)</b></p> <ul style="list-style-type: none"> <li>• Avoiding necessary conversations</li> <li>• Reinforcing hierarchy, intimidating and pulling rank against others</li> <li>• Becoming angry and or defensive when your opinion is challenged</li> </ul>

## Inclusive

- Treating people fairly, with dignity and respect
- Challenging all forms of discrimination
- Valuing all voices so we all feel we belong

### Core Inclusive Behaviours

1. Treat everyone with respect irrespective of their perceived difference (i.e. beliefs, background, characteristics, culture, role or circumstance)
2. Respect other people's personal space, privacy and dignity
3. Privately and sensitively challenge my own behaviours or those demonstrated by others, that are not in line with our values
4. Involve others to develop a shared understanding of what needs to change
5. Proactively and willingly share relevant information with others
6. Keep my manager updated on my progress
7. Get feedback on my impact from a range of sources, identify common themes and use them to improve
8. Use simple, jargon free language
9. Listen with care and without judgement and acknowledge what I have heard
10. Acknowledge other people's concerns and address them sympathetically
11. Promote the internal and external services we offer to those who might benefit from them
12. Share my time, knowledge and expertise willingly to help others
13. Only give work to others if they have the capacity and capability to do it
14. Build collaborative solutions using the experience of whoever is best placed to solve the issue
15. Ask for feedback from a range of sources on our processes and services and use it to make them better
16. Keep those affected by change, included in each stage and updated on progress

### Negative Impact Behaviours Non-inclusive behaviours

- Dismissing other people's experiences or views, as untrue or unimportant
- Being rude, using inappropriate banter or making discriminatory/derisory comments about others
- Pretending other people's work was done by you and taking the credit for it.
- Speaking to others in a belittling, insensitive or condescending manner or undermining others
- Withholding important and relevant information from others/wider team

### Leadership Inclusive Behaviours (In addition to the core behaviours above)

1. Include those affected when creating plans
2. Coach people to identify issues and create their own solution without imposing my own ideas
3. Ensure people have the required training, knowledge, skills, time and space to do their work comfortably and safely
4. Agree goals together to provide clarity on expectations of the role
5. Give regular updates on what is happening within the department and BSMHFT and progress made
6. Share the strategy and vision and check understanding

### Leadership non-inclusive behaviours (In addition to those above)

- Blocking opposing views because they are uncomfortable
- Failing to spot or ignoring tensions/conflicts in the team
- Putting other teams or professionals down to boost your own team

## Committed

- Striving to deliver the best work and keeping service users at the heart
- Taking responsibility for our work and doing what we say we will
- Courage to question to help us learn, improve and grow together

### Core Committed Behaviours

1. Proactively identify what needs to happen to get the job done
2. Own up to my mistakes without delay, apologise and take responsibility for putting them right
3. Share my concerns with appropriate people to find a resolution
4. Balance service user (or internal customer) needs with resources available when making decisions
5. Check to ensure service users (or internal customers) are happy with the service received
6. Identify my struggles and find ways around them to achieve successful outcomes
7. Create my development plan based on my strengths to maximise my performance
8. Report threats to BSMHFT's reputation or service
9. Research, benchmark and use best practice to share ideas for improvement
10. Take time to explore, understand, and assess service user (or internal customer) need and share options available
11. Take responsibility for and deal promptly with queries
12. Offer non-judgmental specific evidence-based feedback, to help others understand their impact
13. Address both the cause and symptoms of the problem
14. Implement easy quick wins to improve things
15. Question how and why we do things to find opportunities to improve
16. Accommodate change positively to suit the needs of service users and BSMHFT

### Negative Impact Behaviours Non-committed behaviours

- Ignoring issues, saying they are somebody else's problem
- Dismissing feedback about service user or staff care
- Not involving service users and their families in care and service decisions
- Manipulating or taking advantage of vulnerable individuals for personal gain
- Putting up barriers to change

### Leadership Committed Behaviours (In addition to the core behaviours above)

1. Build a strategy that is clearly aligned with anticipated future service user needs
2. Find opportunities for people to use and develop their strengths
3. Seek regular feedback on my leadership style and make adjustments to suit my people
4. Set realistic targets and monitor them to ensure they remain realistic
5. Make links between people's current development needs and their career aspirations
6. Translate strategy into meaningful operational plans

### Leadership non-committed behaviours (In addition to those above)

- Stifling creativity with unnecessary processes and control
- Pursuing exciting new projects to the detriment of providing the services needed
- Creating panic and a false sense of urgency when under pressure