

Performance Appraisal Review Assessment Guide

Rating	What is being assessed?	Assessment guide
Level 4 Exceptional	Behaviours Technical competence Individual Objectives Supporting narrative required.	Strongly demonstrates full range of encouraged behaviours and none of the discouraged behaviours. Competence consistently exceeds in all areas required for the job role Exceeded stated requirements in all objectives Achieved A consistently high achiever in the review period
Level 3 Fully Effective	Behaviours Technical competence Individual Objectives Supporting narrative required.	Demonstrates full range of encouraged behaviour indicators and none of the discouraged behaviours. Demonstrates competence at required level for the current job as assessed against any relevant occupational framework in use within the department, the role brief or job description and any other tasks the individual undertakes. Has achieved all objectives to the required standard and may have exceeded some requirements. Achieved A consistently high achiever in the review period
Level 2 Developing	Behaviours Technical competence Individual Objectives Supporting narrative required.	Demonstrates all, or a majority, of encouraged behaviours and up to 3 of the discouraged behaviours Generally competent in the current role but will have up to two areas where further development is required when assessed against any relevant occupational framework in use within the department, the role brief or job description, and any other tasks the individual undertakes.. Has not completed, or partially achieved 1 or 2, objectives, without adequate justification. Other objectives will be achieved to the required standard. Not achieved Development essential, to be achieved by agreement of a relevant SMART objective. An action plan through the Capability Policy may already be in place with clear demonstration of improvement
Level 1	Behaviours	Does not demonstrate some of the encouraged behaviours and Demonstrates 4 or more of the discouraged behaviours

Unsatisfactory	Technical competence	<p>Does not demonstrate competence in more than two areas of the current role – there may be errors which impact the organisation or department in a reputational, material or financial way.</p> <p>More than 2 objectives were incomplete or partially achieved without adequate justification.</p> <p>Not achieved</p> <p>Capability process may be in place with no evidenced improvement in performance. If no Capability in place and the performance rating is Level 1 immediate action must be taken in line with Trust’s Capability/Disciplinary policies.</p>
	<p>Individual Objectives</p> <p>Supporting narrative required.</p>	

Performance Appraisal Review Assessment Quick Reference Guide

Rating	Behaviours	Technical Competence	Individual Objectives
Level 4	Strongly demonstrates full range of encouraged behaviours and none of the discouraged behaviours.	Competence consistently exceeds in all areas required for the job role	Exceeded stated requirements in all objectives
Level 3 FULLY EFFECTIVE	Demonstrates full range of encouraged behaviour indicators and none of the discouraged behaviours	Demonstrates competence at required level for the current job as assessed against any relevant occupational framework in use within the department, the role brief or job description and any other tasks the individual undertakes.	Has achieved all objectives to the required standard and may have exceeded some requirements.
Level 2	Demonstrates all, or a majority, of encouraged behaviours and up to 3 of the discouraged behaviours	Generally competent in the current role but will have up to two areas where further development is required when assessed against any relevant occupational framework in use within the department, the role brief or job description, and any other tasks the individual undertakes.	Has not completed, or partially achieved 1 or 2, objectives, without adequate justification. Other objectives will be achieved to the required standard.
Level 1	Does not demonstrate some of the encouraged behaviours and Demonstrates 4 or more of the discouraged behaviours	Does not demonstrate competence in more than two areas of the current role – there may be errors which impact the organisation or department in a reputational, material or financial way.	More than 2 objectives were incomplete or partially achieved without adequate justification

Note: if there are any demonstrated behaviours which significantly impact on performance, and which are not stated in the Behaviour Indicators Framework, it is at the manager's discretion to include them in the performance appraisal review discussion.

Application of the Performance Appraisal Review Assessment Guide

Performance Appraisal review categories:

Technical competence

Appraisers will refer to the Performance Appraisal Review Assessment Guide to determine the most appropriate rating to award the Appraisee in this category.

Values & Behaviours

Appraisers will refer to the Trust's Behaviour Indicators which is the primary assessment tool for this category to determine the most appropriate rating to award for EACH of the 4 Values and Behaviours categories.

Individual Objectives

Individual Objectives are defined as all Objectives that are to be completed by the Appraisee, these may be job specific objectives, behavioural or developmental objectives and will need to be based on the aims of the Department or Function.

Appraisers will refer to the Performance Appraisal Review Assessment Guide to determine the most appropriate rating to award the Appraisee. It is not necessary to rate each objective, just look at the number of objectives achieved Vs the number of objectives not achieved, refer to the grid and award the appropriate single rating.

Performance Appraisal Review Assessment notes:

- There are 4 levels of rating that can be awarded, Level 1 – Unsatisfactory, Level 2 – Developing, Level 3 – Fully Effective, and Level 4 – Exceptional
- The definitions in the Performance Appraisal Review Assessment Guide will be followed.
- Appraisers award a rating from Level 1 to Level 4 in each of the performance appraisal review categories. SpIda will average the total ratings.
- Each performance period (appraisal year) will be appraised on its own merits, this means that the previous year's performance appraisal review is not used as a measurement tool.
- Each year's performance appraisal rating is stand-alone. It is in place for one year only and is not progressive. There should be no expectation that if an individual is rated as a 2 in 2017 they should expect a 3 in 2018 and a 4 in 2019. Each year is appraised independent from previous years.
- An individual's progress, year-on-year is not referred to in the performance appraisal review and is not part of the assessment.
- To appraise technical job skills, knowledge, ability and their application of those in the job role, the Appraiser will use any relevant competency framework (KSF) in use in the department/job description. A rating of Level 1, Level 2, Level 3 or Level 4 will be awarded as defined by the Performance Appraisal Review Assessment Guide.
- Appraisers are reminded that the job description is not a prescription, individuals can be expected to complete and be appraised on tasks which are not referred to on the job description subject to the task(s) being within the ability of the individual.

- Appraisers must familiarise themselves with the content of the Trust's Behaviour Indicators framework.
- Appraisers will gather any evidence on performance at all levels. This means that in their preparation for the performance appraisal review Appraisers will review peer feedback, any other relevant manager feedback, and any evidence the Appraisee has submitted, and consider a possible rating. This does not mean that the rating decision is predetermined.
- Other examples of relevant Evidence could include written feedback eg thank you letters from patients, examples of specific incidents and recorded behaviour.
- The rating decision will not be made until the performance appraisal review meeting has taken place and the Appraisee has the opportunity to discuss their performance.
- Any negative behaviour demonstrated in the workplace which is counter-productive to Trust policy and/or Values and Behaviours, and significantly impacts on the performance, morale and/or reputation of the Trust, Department, the Individual or Colleagues, CAN BE INCLUDED BY THE APPRAISER at the time of the performance appraisal review.
- At the time of the performance appraisal review if the Appraisee is under a formal Capability process an overall performance rating higher than Level 2, Developing should be used. If there is little or no evidence of improvement whilst on a formal performance/capability plan the performance rating must be Level 1, Unsatisfactory.
- Although there may be evidence of improvement at the time of the performance appraisal review and a rating of Level 2, Developing is awarded, this does not mitigate any decision taken based on the subsequent outcome of any completed action or development plan under the same procedure.
- If moving department the appraisee needs to ensure that the performance appraisal review is signed off before moving as part of their exit process.

