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Values Based Appraisal (VBA) Procedure

Introduction and Aim

The Values Based Appraisal Procedure supports the Learning, Education and Development (LED) Policy and All Wales Pay Progression Policy.

Cardiff and Vale UHB (CAVUHB) is a values-based organisation and as such has developed staff appraisal and support around these values, recognising the importance of the behaviour of staff demonstrating the values that have been set.

Supporting and encouraging our staff to also explore their career potential is important to allow us to develop a workforce that is sustainable and fit for the future as the way we deliver care develops and changes.

We want to make CAVUHB a place where people want to come to work and to ensure that we have the right people in the right roles with the right values. We want to develop and nurture engaged and motivated staff with the skills and confidence to live up to our values every day.

The Values Based Appraisal is for everyone and provides a focussed individualised conversation around development. The appraisal will cover the development staff need, the value they bring, and the position(s) that best suit their skills now and into the future.

Closely aligned to the VBA process is succession planning, which focuses on identifying and growing talent to fill key leadership and business critical positions currently and in the future. The aim of which is to be able to fill key roles effectively if the current post holder were to leave. The outcomes of the VBA will allow the organisation to better structure development and succession plan for the future.

Objectives

- To explain the principles governing appraisal and Pay Progression
- To highlight the individuals key responsibilities involved in the process
- To outline the process for undertaking a VBA, including how to the record the outcome
- To introduce the links to Succession planning
- To introduce the links to pay progression
- To inform staff of the training available to support them

Scope

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This procedure applies to all staff who come under the Agenda for Change agreement.
Separate procedures apply in respect of the appraising of Medical and Dental staff.

Equality Health Impact Assessment	An Equality Health Impact Assessment (EHIA) has not been completed. This is because a procedure has been written to support the implementation of the LED Policy. The Equality Impact Assessment completed for the policy found here to be no impact.
Documents to read alongside this Procedure	The following documents should be read alongside/ in support of this document: <ul style="list-style-type: none"> • VBA Guidance Document • VBA Recording Booklet • Inputting VBA discussion into ESR • LED Policy • All Wales Pay Progression Policy • Statutory and Mandatory Training Procedure
Accountable Executive or Clinical Board Director	Executive Director of People and Culture
Author(s)	LED Manager / BAOT/Unison

Disclaimer

If the review date of this document has passed please ensure that the version you are using is the most up to date either by contacting the document author or the [Governance Directorate](#).

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Summary of reviews/amendments			
Version Number	Date of Review Approved	Date Published	Summary of Amendments
Trust 1	Jan 2006	Jan 2006	New Policy
UHB 1	13/09/2011	09/11/2011	Reviewed in light of the re-launch of the Knowledge and Skills Framework within the UHB. Emphasis changed to reflect the importance of the KSF supporting an integrated appraisal system
UHB 2	30/09/2014	07/10/2014	Reviewed in light of the emphasis of a team based PADR approach. Section on CPD incorporated
UHB 3	30/09/2020	20/10/2020	New document, replaces PADR Procedure, emphasis on Values Based Appraisal
3a	23/09/21	09/11/2021	Accountable Executive updated to Executive Director of People and Culture Rolled forward for 1 years with no further changes

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1. PRINCIPLES GOVERNING VALUES BASED APPRAISAL AND PAY PROGRESSION

Values Based Appraisal embeds the values and behaviours of the organisation into the way that we support and measure our staff. One of the key principles that are part of the NHS Terms and Conditions is that “we will agree and understand what’s expected of us in terms of what we should be doing and how we should be doing it”.

As part of the Agenda for Change Terms and Conditions annual appraisals are a mandatory requirement for all staff. However, good practice indicates that the review is not a once a year event rather an ongoing development feedback process between the appraiser and appraisee (who may be the line manager or designated appraiser) culminating in a formal recorded annual appraisal.

It is important that staff understand how they contribute to the UHB’s strategic objectives. Once the UHB’s Integrated Medium Term Plan (IMTP) and organisation objectives have been agreed during March each year; managers will cascade objectives down through the organisation to bands 6 over the following 12 weeks. The cascade approach will continue for bands 5 and below over the following weeks.

Managers and their peers will hold succession planning meetings to gain an understanding of the succession planning position of their immediate teams and those around them.

The appraisee and appraiser will meet annually for the VBA discussion. Jointly they will agree where the appraisee sits on the career conversation framework and agree objectives.

To enable the appraisee to meet and achieve their objectives a ‘Development Action Plan’ is jointly produced between the appraiser and appraisee and recorded on ESR by the appraiser. Identification of learning and development needs and goals and how these will be met within a given time frame, should ensure a fair and equitable approach to the allocation of resources and opportunities for development.

If it is impossible for the appraisee and appraiser to reach an agreement of their position on the career conversation framework; the final decision lies with the Line Manager of the appraiser and a decision should be recorded within 7 days.

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2. ROLES AND RESPONSIBILITIES

Outlined below are the key post holders who have a role to play in the appraisal process. It is important to note that an individual may have more than one role to play.

2.1 Line Manager Requirements

When preparing, ensure you have planned and prepared well for the conversation by:

- Ensuring you have familiarised yourself with the process.
- Giving the employee the Values Based Appraisal guide in advance of the meeting, so they have full understanding of the process.
- Reviewing the progress and support needed for your team in the Succession Review meeting.
- Giving the employee protected time beforehand to encourage them to complete the documentation, however incorporate as much into the role as possible.
- Reading through the appraisal submission from the employee and note any questions to be asked.
- Considering and bringing wider evidence to support the discussion e.g.
 - feedback from the Succession Review meeting
 - feedback from others
 - specific examples of work
 - past objectives and performance outcomes
 - Job description and person spec
- Making sure you have time before hand so you are in a good place mentally to be able to have a productive conversation.
- Ensuring enough time is given for the meeting and that the time is protected.
- Being mindful of the environment where you hold this conversation – using quiet and comfortable surroundings.
- Record key information on the Values Based Appraisal template on ESR:
 - Date of the Appraisal
 - Placement on the Career Conversation Framework
 - Development Action Plan
 - Pay progression details, if appropriate at this point.

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2.2 Staff Requirements

- When preparing, it is important that you have prepared well for the conversation by:
 - Reading the Values Based Appraisal guide in advance of the meeting
 - Familiarising yourself with the process.
 - Completing the self-assessment and printing out the results page.
 - Reflecting on where you think you are with meeting performance outcomes using the right values and behaviours in the context of the Career Conversation Framework.
 - Considering and bringing wider evidence to support the discussion e.g.
 - self-assessment results page
 - feedback and your reflections on what you found out
 - past objectives and performance outcomes
 - examples of work
 - KSF Outline or other relevant frameworks
 - Making sure you have time before hand so you are in a good place mentally to be able to have a productive conversation.

3 THE VALUES BASED APPRAISAL PROCESS

The appraisal discussion will be a two way conversation to cover the development the appraisee needs, the value they bring and the position(s) that best suits their skills now and into the future. Please see appendix 1 which outlines the process.

3.1 Preparation

To get the most out of the conversation, it is the appraisees responsibility to complete the following preparation;

- The self-assessment tool and print out the results page.
- Seek feedback from a range of people you work with.
- Read through the guidelines and think about examples of your work that you can discuss.
- Find and bring any other documentation that may be useful; previous objectives, KSF outline, job description and person specification.

Further detailed information is available on the Values Based Appraisal Toolkit on the internet.

3.2 The Career Conversation Framework

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The framework (appendix 2) is designed to enable a conversation about the appraisee's role. During the appraisal discussion the appraiser and appraisee will jointly decide the placement of the appraisee on the framework by agreeing a score on the horizontal scale for performance (towards better results) and the vertical scale for behaviour (towards better ways of working).

If both parties were to agree that the appraisee is placed in the bottom left green area of the framework (i.e. the box indicating they partially meet their performance and behaviours) this would usually be because of discussions that may be taking place relating to HR policy; in which case a discussion may need to take place about whether they are to be given their pay award if due. However, it may also mean that they may have not been supported in their role or are new to post, in which case pay progression would still take place. In all other cases (i.e. it is agreed that the employee is placed in any of the other eight boxes) pay progression will also take place. The outcome will need to be recorded on ESR – see section on Links with Pay Progression below.

3.3 Objectives and Development Action Plans

Objectives will be cascaded through the organisation from the UHBs IMTP during March. They are set for the following 12 months and should clearly set out what is to be done, and how well.

Alongside this, both parties will need to discuss the support, learning and development the appraisee requires to meet their objectives. This will result in a personal development plan which is individualised for the appraisee.

Further information and templates are available on the on-line toolkit.

3.4 Recording the Outcome of the Discussion on ESR

It is mandatory that the outcome of the discussion is recorded on ESR, the key data required are;

- Date of the appraisal
- Agreed placement on the career conversation framework
- Development Action Plan
- Pay Progression, see section below

4 SUCCESSION PLANNING

Succession planning is the process of identifying and developing potential future leaders or senior managers, as well as individuals to fill other business-critical positions, either in the short- or the long-term.

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As well as training and development activities, succession planning will typically include the provision of practical, tailored work experience relevant for future senior or key roles.

Succession planning meetings will take place between managers and their peers, the aim of which are to discuss the tier below, sharing knowledge about upcoming gaps and new appointments.

5 LINKS WITH PAY PROGRESSION

Due to recent changes to the Terms and Conditions, pay step submissions will only take place after two, three or five years in post, depending on your pay band. Appraisals will continue to take place annually.

If a pay award is due at the staff member's pay step, then this will need to be recorded separately on ESR, 12 weeks prior to the pay step date.

Further detailed information is available via the pay progression on-line toolkit.

6 TRAINING

6.1 Values Based Appraisal Update for Appraisers – half day

This session assumes that you already undertake appraisals and focusses on using the new process to measure values and behaviours alongside performance objectives, developing a person centred approach around appraisal and succession planning in the organisation.

6.2 How to carry out an appraisal – full day

This session is aimed at those staff who are new to appraising or would like to update or improve their skills.

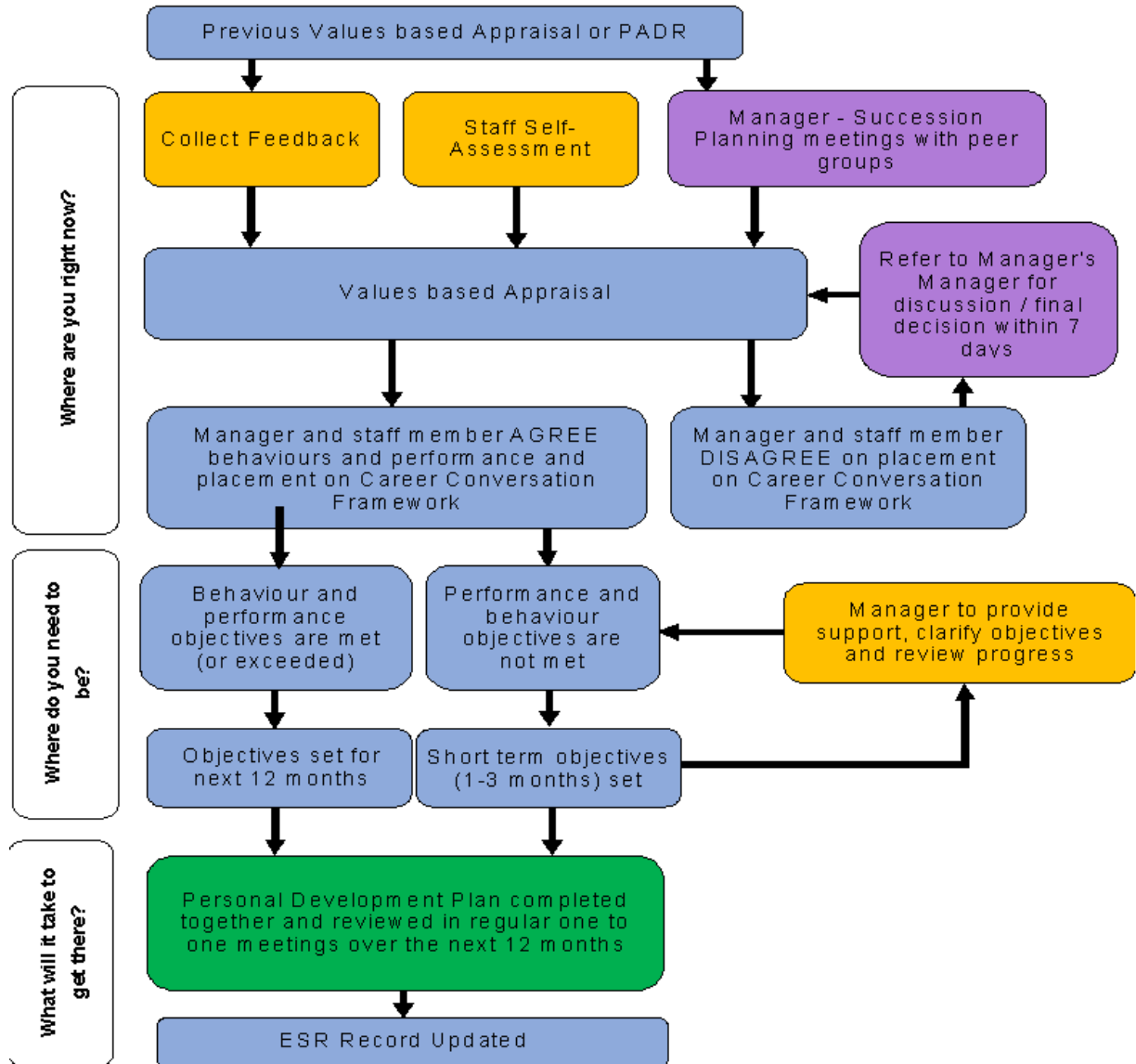
6.3 Values Based Appraisal – information session

A 1 hour presentation is available via the online toolkit for managers to give to their staff.

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APPENDIX 1

Flowchart: Appraisal & annual staff review process



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Appendix 2

Career Conversation Framework

