

**EXECUTIVE SUMMARY****REPORT TO THE BOARD OF DIRECTORS****16 APRIL 2014**

Subject	Update on appraisals compliance
Supporting TEG Member	Mark Gwilliam, Director of HR & OD
Author	Karen Barnard & Mark Gwilliam
Status¹	N

PURPOSE OF THE REPORT

To provide an update to the Board of Directors on the progress that has been made during 2013/14 with regard to appraisals compliance

KEY POINTS

Performance against the 95% appraisal compliance target has seen a steady improvement during 2013/14 culminating in a year end performance of 97.3% at a Trust wide level.

Key areas of action for 2014/15 will be realignment of appraisal dates to ensure that appraisals are spread across the year in an appropriate manner and a focus on ensuring that values based appraisals are rolled out which are effective and well structured.

IMPLICATIONS²

AIM OF THE STHFT CORPORATE STRATEGY 2012-2017		TICK AS APPROPRIATE
1	Deliver the Best Clinical Outcomes	
2	Provide Patient Centred Services	
3	Employ Caring and Cared for Staff	✓
4	Spend Public Money Wisely	
5	Deliver Excellent Research, Education & Innovation	

RECOMMENDATIONS

The Board of Directors are asked to note to content of the update

APPROVAL PROCESS

Meeting	Date	Approved Y/N

¹ Status: A = Approval
A* = Approval & Requiring Board Approval
D = Debate
N = Note

² Against the five aims of the STHFT Corporate Strategy 2012-2017

Update to the Board of Directors regarding achievement of the appraisal compliance target

Background

As part of the 5 year OD strategy (2012-2017) it was agreed that an approach to appraisal would be launched that included a review of behaviours and performance measures using the PROUD values – the rollout of the training associated with this and implementation scheduled to take place over a 2 year period achieving a 95% compliance rate by 2017.

Central recording and reporting of appraisal completion rates using Electronic Staff Record (ESR) was established in 2012. The 2012/13 year end position reported a 54% completion rate, whilst the 2012 staff survey reported that 76% of staff completing the survey to have an annual appraisal which indicated that recording on ESR was not accurate. An appraisal workstream was established to address the accuracy of central reporting and to improve appraisal completion rates.

A target of 85% was established for the year 2013/14 with a stretch target of 95%. Subsequently the CQC visited the Trust in September 2013 and expressed concerns regarding the Trust appraisal performance. As such it was then agreed with the Chief Executive that the Trust would reset its target to 95% to be achieved by the end of March 2014.

Action taken

- The paperwork associated with the PROUD appraisals was reviewed and simplified
- Accelerated rollout of training to support PROUD appraisals was introduced
- Explicit communication of which paperwork should be used for appraisals
- Appraisal summit arranged which was chaired by the Chief Executive and attended by Care Group GMs and NDs and corporate Directors/Heads. Explicit agreement by all of the importance of appraisals in the context of patient experience and the right of all staff to have an annual appraisal.
- Focused performance management – action plans required by all directorates to demonstrate how they would meet the target and dates required against each individual record as to the planned appraisal date. Meetings between the Deputy Director of HR and an interim Senior Manager with all Care Groups to obtain assurance of the target would be achieved. Fortnightly reports on progress by each directorate. Regular emails and letters to flag where there were concerns of achievement. Ongoing focus from the Chief Executive.
- Support from HR – training and support on using ESR to record appraisals; troubleshooting with regard to issues raised by directorates
- Reporting of compliance rates to directorates – fortnightly reports including full staff lists showing who had been appraised in the last 12 months, names of staff outstanding and due an appraisal. Data cleansing where dates had not previously been entered onto ESR.

Progress

There has been an in-year improvement of the Trust appraisal rate from 55.4% to 97.3%. As can be seen from Appendix 1 the Critical Care directorate did not achieve 95% compliance, however they did achieve 90.9% completion rate and at the April appraisal summit this directorate committed to achieving the target by the end of April 2014. This is a significant achievement across the Trust by all management teams.

Next steps

2014/15

- Three appraisal summits have taken place since September 2013 to review progress towards compliance. At the summit in April 2014 it was agreed that quarterly meetings would continue to ensure that compliance levels do not slip.
- An action plan has been requested by 30 April from all directorates detailing how appraisals will be realigned so that they are spread over the year appropriately; this plan is to include the numbers of appraisals each directorate plans to achieve each month.
- Continued roll out of training for PROUD appraisals. Movement towards all appraisals being PROUD appraisals by year end 2014/15.
- Monthly monitoring of compliance rates and staff lists continuing to be sent to all directorates.
- Focus on the effectiveness of appraisals as outlined in the NHS Staff Survey analysis – ie *'Well structured' Appraisal – as defined by the staff survey - "Did it help you to improve how you do your job?", "Did it help you agree clear objectives for your work?" and "Did it leave you feeling that your work is valued by your organisation?"*
- During 2014/15 a quality audit will be introduced to measure the effectiveness of appraisals
- Undertake a communication exercise to demonstrate the value of appraisals and how staff have been able to develop their career.
- Explore the use of e-appraisals utilising the PALMs system being implemented during 2014/15

2015/16

- Introduce 360 degree feedback as part of appraisals for those in leadership roles

Recommendation

The Board of Directors are asked to note the significant improvement in appraisal rates across the Trust during 2013/14.

