

# Appraisal, Objectives and Performance Review (including Pay Progression) Policy

|  |   |
|--|---|
| <b>Policy Folder &amp; Policy Number</b>         | HR  |
| <b>Version:</b>                                  | 3   |
| <b>Ratified by:</b>                              | Governing Bodies                                  |
| <b>Date ratified:</b>                            | 2013  |
| <b>Name of originator/author:</b>                | MLCSU /Caroline Lawrence Head of HR               |
| <b>Name of responsible committee/individual:</b> | Communications, Engagement, Equality & Employment |
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| <b>Date issued:</b>                              | Sept 2021   |
| <b>Review date:</b>                              | 2024  |
| <b>Date of first issue</b>                       | 2013  |
| <b>Target audience:</b>                          | All CCG staff                                     |

## CONSULTATION SCHEDULE

| Name and Title of Individual | Groups consulted                        | Date Consulted |
|------------------------------|---|----------------|
| Head of HR                   | CCGs Staffordshire & Stoke on Trent CCG | July 2021      |
| Staff Engagement Group       | Staff Engagement Group                  | Aug 2021       |
| Trade Union Representatives  | Staff Side                              | June 2021      |

## APPROVALS & RATIFICATION SCHEDULE

| Name of Committee approving Policy                                      | Date      |
|---|-----------|
| Individual Governing Bodies   | 2013      |
| Review by Communications, Engagement, Equalities & Employment committee | Sept 2021 |
|   |           |
|   |           |

## VERSION CONTROL

| Version | Version/Description of amendments  | Date | Author/amended by |
|---------|--|------|-------------------|
| 1       | New Policy adopted by all 6 CCGs   | 2013 | MLCSU             |
| 2       | <ul style="list-style-type: none"> <li>Six policies brought together into single new document.</li> <li>AFC pay long term absence has been considered, reflected and included in the, as referred to in section 5.10</li> <li>Incorporates pay progression changes as of 1st April 2021</li> </ul> | 2021 | MLCSU             |
| 3       |  |      |                   |
| 4       |  |      |                   |

## Impact Assessments – available on request

|                            | Stage | Complete | Comments               |
|----------------------------|-------|----------|------------------------|
| Equality Impact Assessment | 1     | √        | No amendments required |
| Quality Impact Assessment  | N/A   |          |                        |
| Privacy Impact Assessment  | N/A   |          |                        |

Printed copies or those saved electronically must be checked to ensure they match the current online version.

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## **HR POLICIES**

### **Part 1**

#### **1.0 POLICY STATEMENT**

- 1.1 The CCGs are committed to improvement through organisational, team and personal development. This means that all employees need to continually develop their skills and expertise so that they are able to carry out their role efficiently and effectively and fully contribute to the success of the organisation.
- 1.2 This Policy sets out the CCGs approach to performance review, talent management and pay progression. It is designed to give an overall statement of intent.
- 1.3 Actively managing performance and talent not only enables the CCGs to achieve its mission of supporting, supplying and protecting the NHS, it also makes sure that each and every employee has a clear understanding of:
- What is expected of them
  - How they are performing
  - How this contributes to organisational performance and strategy
  - What their short-term development needs are
  - What they need to do to develop their career in the longer term
- 1.4 Both employees and managers must share the responsibility for ensuring that appraisals and personal development are embedded in everyday working practices. However, accountability for appraisal is with the manager.
- 1.5 The CCGs understand the need to provide a clear and consistent framework within which employees and managers can talk about performance, and review and plan development. The process enables this, and ensures that reliable information on performance, potential, aspiration and skills sets to enable this.

#### **2.0 PRINCIPLES**

- 2.1 The CCGs recognise the contribution that values, and competencies make towards overall performance, and these are included in the measurement of individual performance.
- 2.2 To be effective it is essential that the process is interactive and jointly owned by each employee and their line manager. Line managers and employees will meet in 1:1s on a regular basis to discuss performance and development. The process is ongoing and therefore less effective when addressed infrequently.
- These meetings must be documented using the templates contained within appendix 1.
- 2.3 In addition to these meetings, bi-annual review meetings should be undertaken to spend more time considering achievements for the ongoing assessment of performance against agreed task and development-based objectives and expected competency and behaviour to ensure the documentation remains up to date and fit for purpose.
- 2.4 The process supports the identification of effective and meaningful learning experiences and opportunities to enable employees to develop their skills and fulfil more of their potential to deliver more effectively in their current and future roles. The process will result in a robust Appraisal which can be monitored throughout the year.

- 2.5 Clear expectations will be set in terms of objectives to be achieved together with necessary competencies and behaviours linked to the Corporate Objectives normally developed at the start of each financial year and how these align with organisational strategy and plans.
- 2.6 The process will identify and record how an individual has performed against expectation for the previous review period. This meeting should be recorded and agreed by both parties (see Appendix 1)
- 2.7 The appraisal review period is 12 months, beginning 1 April and ending 31 March to coincide with the publication of the organisations business plans. Managers will hold two meetings with their staff throughout this period. These will occur at the beginning of and approximately halfway through a review period. These are recorded and agreed by both parties (see Appendix 1)
- 2.8 When the line manager changes during a review period there will be a handover process in which the previous manager will begin an interim Review Meeting by assessing the individual's performance to date, and their new manager will complete this by setting expectations for the remainder of the review period. This will ensure continuity in the reviewee's personal development and that outstanding responsibilities in the original role are transferred to others so that business objectives continue to be achieved.
- 2.9 The process is linked to the CCGs business strategy and plans, and the competencies and values to ensure that skills and behaviours are developed to meet business needs and culture.
- 2.10 The CCGs will ensure that all managers are suitably skilled and competent in undertaking staff appraisals and performance reviews.

### **3.0 PAY PROGRESSION**

- 3.1 Existing staff employed prior to 31 March 2019 should progress through their pay scale with annual pay steps, however if there have been performance issues, then this should be raised throughout the year and dealt with through the appropriate policy. Pay step dates are not the same for all staff as they are based on when staff joined the NHS.
- 3.2 For staff employed since 01 April 2019, pay progression will no longer take place annually. Under the new system, the first pay step reviews will normally take place after two, three or five years depending upon the band. The first pay step review is due to take place from April 2021, when new staff joining or promoted on 01 April 2019 will reach their first pay step review. This is assuming that all new starters/promotions start at the bottom of the pay band in line with AfC terms and conditions.

### **4.0 EQUALITY**

In applying this policy, the CCGs will have due regard for the need to eliminate unlawful discrimination, promote equality of opportunity, and provide for good relations between people of diverse groups, in particular on the grounds of the following characteristics protected by the Equality Act (2010); age, disability, gender, gender reassignment, marriage and civil partnership, pregnancy and maternity, race, religion or belief, and sexual orientation, in addition to offending background, trade union membership, or any other personal characteristic.

### **5.0 MONITORING & REVIEW**

- 5.1 The policy and procedure will be reviewed triennially by the HR team in conjunction with operational managers at the CCGs and Trade Union representatives. Where review is necessary due to legislative change, this will happen immediately.

## **Part 2**

### **1.0 PROCEDURE**

- 1.1 Individuals will be introduced to the process at the start of their time in their role and initial performance and development expectations will be set.
- 1.2 All managers will have regular 1:1 meetings with their staff to discuss their health and wellbeing, performance and development. These meetings should take place at least monthly and, in some cases, at the discretion of the manager and individual, may occur more frequently.
- 1.3 1:1 meetings should provide both the manager and individual with the opportunity to discuss any aspects of performance, competence, behaviour and development that may be appropriate in the context of the individual's role and their current objectives.
- 1.4 Appraisal Review Meetings will be held between 01 April and 31 March. At these meetings performance during the previous period will be recorded and expectations for the forthcoming year set.
- 1.5 Appraisal Reviews will be cascaded through the business to ensure there is a continuous line of sight between the CCG strategy, local business plans and individual objectives.
- 1.6 Completed documentation from the Appraisal Review Meetings will be reviewed and signed off by the reviewer's line manager (as well as the reviewee and the reviewer) to ensure consistency in performance bandings awarded and expectations set.
- 1.7 Interim Appraisal Review Meetings will be held halfway through the review period. At interim meetings performance against objectives to date is rated and consideration is given to any necessary changes to expectations for the remainder of the review period.
- 1.8 These meetings may also be known as performance and development reviews (PDRs).

### **2.0 JOB DESCRIPTIONS**

- 2.1 Job Descriptions have an ongoing purpose throughout the employee life cycle.
- 2.2 Job descriptions should be regularly reviewed to ensure they reflect on paper what the post holder undertakes in practice day to day.
- 2.3 A good job description gives the person within the post a reference point for their responsibilities and the required level of performance expected which is beneficial for appraisals and reviewing and planning personal growth and development.
- 2.4 Job Descriptions also support Managers to understand the scope and level of responsibility expected of a role and ensures consistency across job bands, aligning job factors and relevant job information.

### **3.0 FLEXIBILITY**

- 3.1 The Organisation recognises that due to the number and diversity of its employee groups, the process needs to be flexible. To support this, a 1:1 meeting to review performance, or a more formal interim Appraisal Review Meeting can be requested by either party at any time.

## **4.0 APPRAISAL REVIEW MEETINGS**

4.1 All Managers must ensure that priority is given to the Appraisal Review Meetings and that scheduled appointments are issued and only re-arranged where the needs of the business are paramount.

4.2 Appraisal Review Meetings are most effective when well prepared for. Guidance has been provided to support the preparation of reviewers and reviewees (see Appendix 1). Management teams will also meet prior to Appraisal Review Meetings to ensure a consistent and transparent approach to these meetings.

4.3 Managers must allocate a quiet place with no interruptions and sufficient time to each meeting to ensure that an effective conversation is able to take place and that an accurate and reflective record of this is made.

4.4 The conversation will include:

- Review of performance against objectives and standards
- Discussion of the employees' health and wellbeing
- Review of behaviour in relation to the Organisation Objectives
- An overall performance banding combining performance against objectives, competencies and behaviours
- Discussion of personal aspirations and career development
- Agreement of personal objectives and performance standards over the coming year and how these are aligned with the CCG strategy and local business plans
- Review of personal development during the last year
- Development of an Appraisal for the coming year
- Review of the Pay Step Review process (if applicable at the time of the APPRAISAL REVIEW)

## **5.0 INCREMENTAL PROGRESSION**

5.1 Pay Progression

### **5.2 Staff in post prior to 31 March 2019.**

- During the three year pay award ending on 31 March 2021, current organisational pay progression will continue to apply, unless the employee is promoted to a new post.
- An employee's incremental point will be awarded on their anniversary of starting or promotion date automatically in ESR. There will be no need to complete any paperwork to receive the award.
- Therefore, during the transition period, staff may receive a combination of their incremental uplift and the annual pay award.
- Despite these awards continuing to be automatic, it is important that all employees undertake an annual appraisal and complete all their mandatory training.

- The automatic award of the incremental point will cease on 31 March 2021.
- For employees to track their individual pay journey, they can access this via the [pay journey tool](#).
- For those staff on Band 8c, 8d and 9 where a re-earnable process is in place prior to 01 April 2019, this process will continue until 31 March 2021.

### **5.3 Staff appointed or promoted since 01 April 2019**

- Staff employed or promoted on or after 01 April 2019 will be required to follow the new pay progression system in order to receive their pay step increase.
- Pay step increases will no longer be automatic and staff will be required to demonstrate the following standards in order to receive their pay step increase:-
  - An annual appraisal has been completed within the last 12 months and outcomes are in line with organisational objectives
  - There are no formal capability processes in place (excluding absences related to ill health)
  - There are no formal disciplinary sanctions live on the employees' record
  - Statutory / Mandatory training has been completed
  - For line managers only – appraisals have been completed for all the staff as required.
- If an employee has been able to demonstrate the requirements detailed above, they will be eligible for their pay step increase.

### **5.4 Re-earnable process for Band 8c, 8d and 9**

- The principles and requirements for the pay progression and the re-enable process for Bands 8c, 8d and 9 are the same principles and standards as detailed above.
- Once an employee has reached the top of their band, the expectation is that the employee will continue to meet the required standards and will re-earn the relevant element of pay annually.
- The first point at which a re-earnable element becomes relevant is 12 months after the employee has passed through their pay step point and reached the top of their band.
- In the year after the employee has reached the top of Band 8c, 8d or 9, 5% or 10% of basic salary will become re-earnable. Where the standards are met, salary will remain at top of the band. If the standards are not met, then the salary may be reduced by 5% or 10% from the pay step date (further guidance to be defined by NHS Staff Council). If the reason an employee cannot demonstrate one of these standards due to factors beyond their control, then this should not affect their pay progression.
- The employee will be able to restore their salary to the top of the band the following year by meeting the required standards.

5.5 ESR will be closed to automatic pay step increases for new and newly promoted staff as of 01 April 2019.

5.6 Line Managers will be notified between 60 and 90 days in advance via ESR, that a member of their team is due a pay step increase and will be expected to undertake a Pay Step

Review Meeting with the employee at least one month in advance of their pay step anniversary. This review meeting should be recorded on ESR via the Manager Dashboard.

- 5.7 Appraisal Review Meetings will need to take place each year regardless of whether there is a pay step increase scheduled for that year or not.

## **5.8 The Pay Step Review Process**

### **Step 1**

Between 60 and 90 days before an employees Pay Step Date is due, a Manager must meet the individual for a Pay Step Submission Review (Appendix 6). This meeting will determine whether the employee can progress through the next Pay Step and should draw on the most recent appraisal. Employees will progress to the next pay step point on their pay step date where the following can be demonstrated:

- The appraisal has been completed within the last 12 months and outcomes are in line with the Organisational standards
- There is no formal capability process in place
- There is no live disciplinary sanction on record
- Statutory and Mandatory Training is 100% complete
- For Line Managers only – appraisals have been completed for all staff they manage

Where factors beyond the employee's control, such as organisational or operational issues, have prevented compliance with any of the above requirements, these should not prevent the employee from progression. Managers should ensure that they take full account of such factors and employees bring to the attention of their line manager as soon as possible so that these can be addressed and remediated.

### **Step 2**

At least 1 month before the Pay Step Date and once Step 1 been completed, the manager should enter, under Pay Progression Meeting Review on ESR, the outcome of the meeting. If the individual can progress to the next pay step, this will be actioned on ESR.

### **Step 3**

If the Standards have not been met, this should be entered onto ESR. The Line Manager should discuss and agree a plan with the employee for any remedial action needed, including timescales. On successful completion, the manager will apply the Pay Step following the deferral, by adding a new Pay Progression Meeting Review and select 'Yes, following deferral'

If a Line Manager is considering not approving the Pay Step, they must speak with HR before the discussion with the employee or this is actioned on ESR. It is expected the large majority of employees will be approved for their Pay Step and only where formal action has already been taken in relation to capability / performance, may this defer a Pay Step.

## **5.9 Decisions to delay a pay Step**

It is expected that staff will achieve the required standards at the point of their pay step. It is also expected that staff and their line manager should have regular discussions about any problems in reaching the required standards before the pay step date. This will allow time for issues to be raised and possible solutions found to enable the pay step point to be opened on time.

In cases where the standards have not been met and there are no mitigating factors sufficient to justify this, it is expected that an individual's pay step will be delayed subject to the arrangements outlined below.

The line manager must use the pay step review meeting process to discuss the standards that have not been met and previous discussions about, these and record their decision.

The line manager should advise the employee of the right to appeal any decision using the CCGs Grievance Policy.

The Line manager should also discuss and agree a plan with the employee for any remedial action needed to ensure that the required standards for pay progression are met, including a timescale and how any training and support needs will be met.

A further pay step review meeting should be arranged at an agreed date to review progress and where satisfactory, initiate the opening of the pay step. The effective date for progressing to the next pay step should be the earliest date that the relevant requirements are shown to have been met. The pay step date for future years will remain unchanged.

Where a pay step is delayed due to a live disciplinary sanction or a formal capability / performance process, the line manager should initiate a pay step review meeting before the expiry of the sanction or capability plan. This should be used to confirm all other requirements have been met and to ensure that the staff member progresses to the next pay step, effective the date after the sanction expires. The pay step date will remain unchanged.

A disciplinary sanction cannot be applied retrospectively to delay a pay step it comes into effect after the pay step date.

#### **5.10. Absent from work when pay step review is due**

If a staff member is absent from work for reasons such as sickness or parental leave when a pay step is due, the principle of equal and fair treatment should be followed so that no detriment is suffered as a result.

In the case of planned long term paid absence such as maternity, adoption and shared parental leave the pay step review can be conducted early if this is reasonable and practical, allowing the pay step to be applied on their pay step date in their absence.

If an individual is on planned long term paid absence such as maternity, adoption and shared parental leave and a pay step review cannot be conducted prior to the pay step date, the pay step point should be automatically applied in the individual absence, subject to equal and fair treatment,

If there is a live disciplinary sanction in place at the point the individual commenced their leave, the pay step point should be applied in their absence if appropriate, effective the day after the sanction expires.

If there was an active formal capability / performance process underway, at the point they went on leave, the pay step point can be delayed. The improvement process should be resumed immediately upon their return. On satisfactory completion, the period of their absence should be set aside, and the pay step point backdated to an agreed date as if they had completed the improvement process without being absent.

The CCGs will need to take particular care to avoid any discrimination or detriment on the grounds of maternity, sex or disability that could arise in relation to staff on maternity/adoption/parental or sick leave.

Suspension from work on full pay is a neutral act, in order to ensure this is the case, employers should ensure that the pay step point is applied from the pay step review date where an individual is suspended on that date, provided they were meeting the required standards at the point of suspension.

## **6.0 APPEALS PROCESS**

- 6.1 All individuals will have the right to appeal to the application of this policy via the CCGs Grievance Policy and Procedure.

## Appendix 1 - Preparing for your Appraisal

Your appraisal aims to discuss the competencies, knowledge and skills you need to have to function well in your role. It looks at your training / learning needs to meet your job requirements and possible career aspirations. It is an opportunity to look at your role, workload, to look back on what you have achieved during the year and to agree where necessary areas of development for the forthcoming year and beyond.

It is recommended that you consider the questions on the self-appraisal questionnaire (below) prior to your review as this will be used as the basis for discussion in your review meeting.

Other documents you need to refer to in order to prepare for the review include:

- Previous appraisal documentation and personal development plan
- Evidence of progress and achievements
- Job description
- Mandatory training certificates

*(If this is your first appraisal you may not have all of these)*

### Self-Appraisal Questionnaire

|   |
|---|
| To what extent if any have the objectives from your last review have been achieved and what has been learned from these?  |
| How well do you feel you perform in your role?  |
| What have been your major successes or achievements over the last 12 months?  |
| Are there any significant changes in carrying out your role you feel could be made to benefit the clients, staff etc. or improve performance?   |
| What do you feel you do well?   |
| What areas for improvement in your role can you identify?   |
| What learning and development has been undertaken during the period under review and how has this been used in practise?  |
| What development is needed over the next twelve months to help you achieve your role objectives and to support your career development?<br><b>(Record details on Personal Development Plan)</b> |

**Please submit this form to the appraiser in advance of your appraisal**

**Objectives**

|              |                   |                                 |                     |
|--------------|-------------------|---------------------------------|---------------------|
| <b>Name:</b> | <b>Job Title:</b> | <b>Line Manager/Supervisor:</b> | <b>Review Date:</b> |
|--------------|-------------------|---------------------------------|---------------------|

**Objectives (you should try to limit these to a maximum of 4)**

| <b>No.</b> | <b>Individual/Team Objective</b> | <b>Target date</b> | <b>Success Criteria<br/><i>How do I measure that I have achieve this</i></b> | <b>A = achieved<br/>B = partly achieved<br/>C = not achieved</b> | <b><u>Notes/Barriers to achievement</u></b> |
|------------|----------------------------------|--------------------|--|--|---|
| 1          |                                  |                    |  |  |   |
| 2          |                                  |                    |  |  |   |
| 3          |                                  |                    |  |  |   |
| 4          |                                  |                    |  |  |   |

**Signed:** Appraisee .....

Line Manager: .....

Indicators for measuring performance and a plan of how the objectives are to be measured should be agreed between the manager and the individual. Remember objectives should be **SMART: Specific, Measurable, Agreed, Realistic, and Time related and should reflect corporate objectives**. For those who manage staff one objective should relate to this role as managing/supporting the development of these individuals.

**Copy to employee and reviewer (personal file)**

**Copy to CCG admin team for monitoring date appraisal took place and overall compliance levels in the CCG**

**Copy to employee and reviewer (personal file)**

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**APPRAISAL**

Name:

Job Title:

Date of Meeting:

***Thinking about your job and plans or priorities for the last period***

**Which parts of your work do you feel have gone well and how well do you feel you perform in your role?**

*You may want to note particular areas of work, or specific projects you have been involved in – e.g. communication with others, meeting deadlines, working independently, working with information technology etc.*

**Which parts of your work do you feel have not gone so well?**

*You may want to note particular areas of work, or specific projects you have been involved in.*

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**What have you done during the period that was new, challenging and helped you to develop?**

**Have you achieved your objectives and what have you learnt from these?**

**Are there any significant changes in carrying out your role you feel could be made to benefit the organisation or improve performance?**

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**What areas for improvement in your role can you identify and is there any development needed over the next 12 month to help you achieve your role/objectives and to support your career development?**

*Thinking about your Job Description*

**Do you understand all aspects of your job description? If not, which parts do you require more information on?**

**Do you think your job description is up to date? If you think that changes should be made, what are these?**

**Pay Progression**

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**From April 2021, there are certain requirements to achieve pay progression;**

- To have had an appraisal within the last 12 months, and in that appraisal have met the required organisational standards (such as your objectives).
  - Have your annual appraisal within the 90 days prior to your pay affecting increment date so that a recent review of performance informs whether you receive a pay affecting increment.
  - To be up to date with all statutory and mandatory training.
  - Not be in the formal capability process;
  - Not to have a live disciplinary sanction on your record;
- 1) Can you provide evidence that your statutory and mandatory training modules are all fully compliant? If you are not fully compliant you will need to provide evidence that training is up to date prior to any pay affecting increment**

**2) If you are not fully compliant, do you understand that if you have a pay affecting increment due, you cannot progress to the next pay point?**

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***Thinking about the support/development needs you identified to help you achieve your plans and priorities***

| What are the support/development needs identified? | How will you fulfil the support/development need identified? |                                      |                          | What date will you check to see if you have achieved it |
|--|--|--------------------------------------|--------------------------|---|
|  | As part of your normal work (if so, how)                     | Formal training course (if so, what) | Informally (If so, what) |   |
|  |  |                                      |                          |   |
|  |  |                                      |                          |   |
|  |  |                                      |                          |   |

***Thinking what has been discussed and agreed at appraisal meeting***

Manager – is there anything else you would like to discuss or have noted at this meeting?



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Individual – is there anything else you would like to discuss or have noted at this meeting?

Name of Manager .....

Signature of Manager: .....

Date: .....

Name of Employee .....

Signature of Employee: .....

Date: .....

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## Annual Objectives

**Both the Appraiser and Appraisee consider in preparation for the appraisal. It is helpful to think of a maximum of 3 objectives (individual or team) that are aligned with the CCGs common purpose and also include individual learning and development needs.**

|              |                   |                                    |                     |
|--------------|-------------------|------------------------------------|---------------------|
| <b>Name:</b> | <b>Job Title:</b> | <b>Line Manager/Supervisor(s):</b> | <b>Review Date:</b> |
|--------------|-------------------|------------------------------------|---------------------|

### Objectives

| No. | Individual/Team Objective | Target date | Success Criteria<br><i>How do I measure that I have achieve this</i> | Notes | Appraisers Comments | Status<br>A = achieved<br>B = partly achieved<br>C = not achieved |
|-----|---------------------------|-------------|--|-------|---------------------|---|
|     |                           |             |  |       |                     |   |
|     |                           |             |  |       |                     |   |
|     |                           |             |  |       |                     |   |
|     |                           |             |  |       |                     |   |

**Signed:**

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Name of Manager .....

Signature of Manager: .....

Date: .....

Name of Employee .....

Signature of Employee: .....

Date: .....

Indicators for measuring performance and a plan of how the objectives are to be measured should be agreed between the manager and the individual. Remember objectives should be SMART: Specific, Measurable, Agreed, Realistic, and Time related. For those who manage staff one objective should relate to this role as managing/supporting the development of these individuals.

***Wherever possible personal objectives should reflect corporate objectives.***

**A copy of these forms should be retained for reference by the individual, and one copy by the manager (for personal file)**

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