

## Agenda for Change Appraisal Frequently Asked Questions

This FAQ provides answers to the most commonly asked questions during appraisal season and is designed to accompany the [AfC Appraisal Best Practice Guide](#). This document will be updated and republished throughout the year to reflect regularly asked questions regarding appraisals.

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## Recording appraisals

### How do I record the appraisal discussion?

Agenda for Change (AfC) appraisals can be recorded in two ways:

- By using the online appraisal system on the [Trust Training Interface](#) (recommended method).
- Using the [2022 Trust Appraisal Paperwork](#) which can be accessed by requesting a copy via email to [leedsth-tr.mandatorytraining@nhs.net](mailto:leedsth-tr.mandatorytraining@nhs.net)

### What are the differences between the Training Interface appraisal system and the paperwork version of the appraisal record?

There is no major difference in content however, if you complete the appraisal online, the system will pre-populate any priority that you input using the system in the previous appraisal season.

### How do I notify Organisational Learning of a completed AfC Appraisal?

**Completing appraisal using the Training Interface:** When completing an Appraisal on the Training Interface both parties (member of staff and manager) must sign the completion section. This will result in the appraisal becoming 'locked' and will be captured as a record in ESR - *no notification email is required to be sent if the appraisal has been completed on the Interface.*

**Completing a paper based appraisal:** There are 2 ways in which to record a paper based appraisal:

**Either;**

- A. Using the Training Interface** - there is now the facility to record a paper based appraisal on the Training Interface - if you chose to record in this way - *no notification email is required to be sent as this be captured automatically and recorded in ESR.*

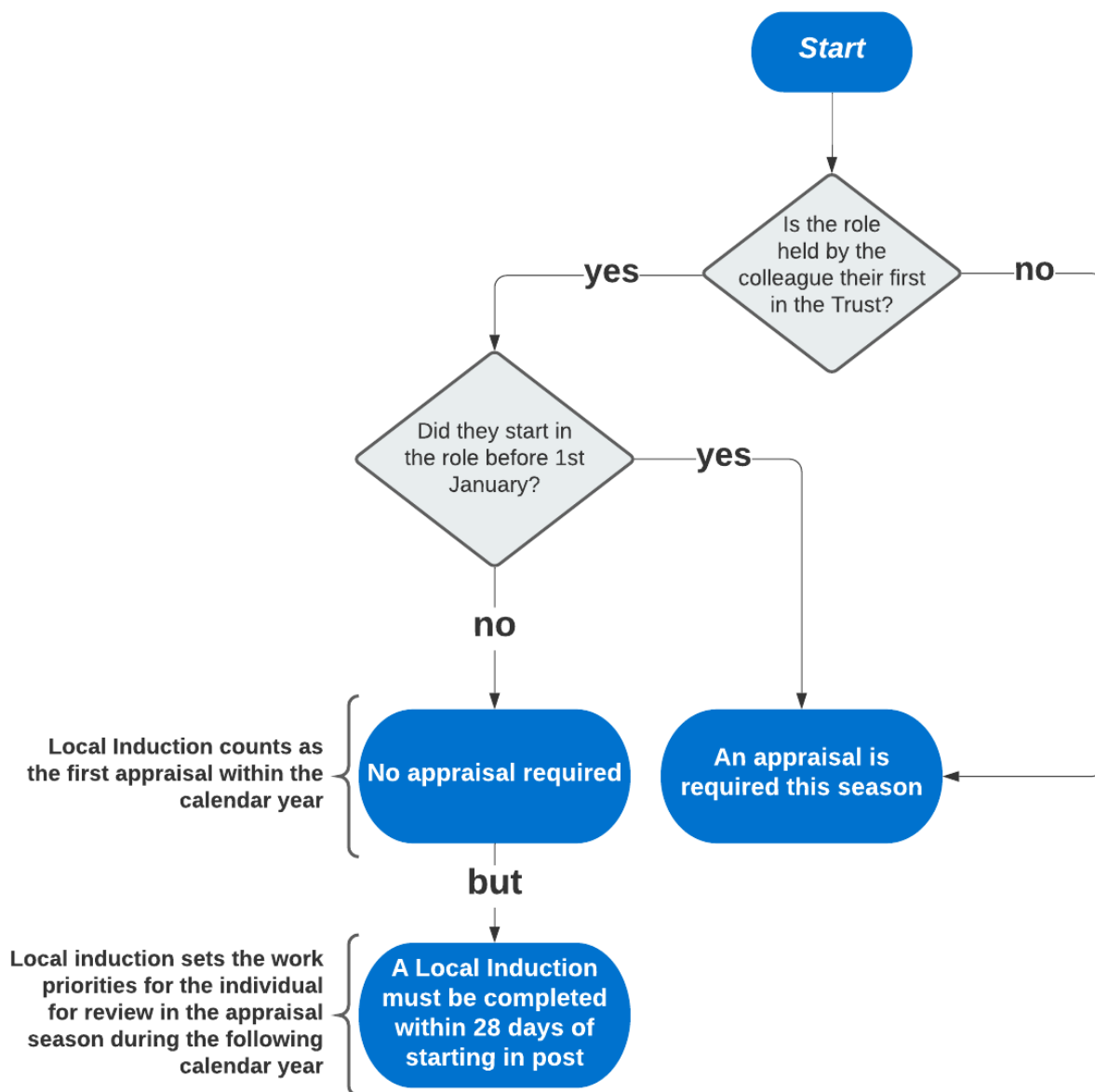
**Or**

- B. Notifying Organisational Learning directly** - if you wish to complete a paper based appraisal you can email [leedsth-tr.mandatorytraining@nhs.net](mailto:leedsth-tr.mandatorytraining@nhs.net) directly stating the staff name, payroll number and advising if the appraisal was successful or unsuccessful - *If you email OL directly no further action is required.* Please ensure that, if you are sending us a list of names and payroll numbers, a new list is sent rather than adding to an existing list - this will safeguard effective recording of paper based appraisals. A copy of the appraisal form is not required by Organisational Learning, this should be kept in the personal file.

## New starters

### What do I do if I have a new starter in my team, is an appraisal needed?

A new starter's priorities should be set at local induction rather than appraisal. Where a new starter has completed their local induction after 1st January in the appraisal year, they will not be required to undertake an appraisal in that appraisal season (see the flow chart below)



Incidentally, staff commencing their role 28 days before the end of the appraisal season will not be reported on in the compliance reports - this is because the first 28 days of employment is the local induction period.

Complete the Local Induction using the Training Interface. Alternatively, complete the paper form and advise Organisational Learning that the local induction is complete by emailing [leedsth-tr.mandatorytraining@nhs.net](mailto:leedsth-tr.mandatorytraining@nhs.net).

### What if my new starter has moved from another role in the Trust?

If your new starter is moving roles within the Trust, you are advised to discuss with their former manager how they performed to aid the "Review priorities" section of the appraisal. If this isn't feasible, possible or suitable, their previous priorities can be scored as "Achieved with Mitigating Circumstances" at current manager's discretion.

**A staff member has retired but returned to the department what should be done with their previous priorities?**

Assess the previous priorities but, if they are no longer relevant, then they should be marked as 'achieved with mitigating factors' with appropriate comments attached. Carry on the appraisal in accordance with the requirements of the new role.

## **Priorities and Personal Development**

**What's the difference between agreeing Priorities and agreeing the Personal Development Plan?**

Priorities are about work things that need to be done; Personal Development Plans (PDPs) are about helping/encouraging the individual to build skills (helping with staff motivation and retention/improved patient care etc.). Mandatory Training is not Personal Development! Do not put Personal Development activities in the work Priorities section as this can impact the successful outcome of the appraisal in the following year if the personal development activity has not been completed. Incomplete personal development activities must not be a reason to receive an unsuccessful appraisal.

## **Staff not currently in my department, multiple roles and under training**

**What if an appraisee has more than one job role in the Trust?**

A combined appraisal needs to be carried out; the managers will need to discuss the objectives set from the previous year and the new ones to be set for both roles. They should agree which manager will update the Training Interface. One of the two managers might consider taking the role of 'senior manager' within the Training Interface. Appropriate comments from both managers should be entered into the appraisal record to reflect the duality of the employment relationship.

If it is not possible for a combined Appraisal to take place, one Appraisal can be recorded via the Training Interface and the second via the paper method.

**The appraisee has held more than one role within the year but only one at a time, how should the priorities be assessed?**

If the priorities are no longer relevant, mark them as 'achieved with mitigating factors'; otherwise the previous and current manager should collaborate to complete the appraisal.

**Do apprentices need to have an appraisal?**

An appraisal needs to be completed in the same way as any other member of staff; all apprentices are employees of the Trust. A record of the appraisal may contribute towards an apprentice's End Point Assessment portfolio for some apprenticeship programmes.

**A staff member has been seconded; how should their appraisal be completed?**

- If seconded within the Trust please ask their current manager to complete the Appraisal.
- If seconded outside of the Trust, please ask the member of staff if they have been appraised by the host organisation during the secondment and to provide the date, then email [leadsth-tr.mandatorytraining@nhs.net](mailto:leadsth-tr.mandatorytraining@nhs.net) who will update the ESR record.

**What do I do for a staff member who is on parental (maternity/paternity) leave?**

Check with payroll they have been marked on ESR as being on long-term absence. The staff member will drop off the report after 28 days of absence.

**What if a staff member on annual leave immediately after parental leave?**

Staff who have finished parental leave but have remained on annual leave are considered to have returned to work and will therefore remain on the compliance reports. Their appraisal should be planned for when they return.

[A staff member is due to leave the employment of the Trust, how should this appraisal be managed?](#)

A departing member of staff should receive an exit interview by a manager independent from the staff member's line of management. Once the exit interview is complete, email [leedsth-tr.mandatorytraining@nhs.net](mailto:leedsth-tr.mandatorytraining@nhs.net) to confirm and the appraisal record will be updated.

[A staff member is due to leave the department for a new role, do I need to appraise them?](#)

You should appraise the staff member before they leave if they are due to depart during appraisal season. If they leave after appraisal season, depending on when that happens, you may be asked to support a future appraisal for that staff member to sign off the objectives that you set for them.

[The manager of the staff member is absent, who should complete the appraisal?](#)

The next appropriate manager in the department or the senior manager should complete the appraisal. A colleague should not be left without appropriate support. The manager taking on the responsibility for the appraisal will need to establish themselves as the 'Appraisal Manager' within the Training Interface for that staff member.

## Disciplinary and conduct issues

[An appraisee is refusing to cooperate with their appraisal, is under investigation or is absent without reason, what happens next?](#)

These situations should be discussed with the Operational HR team.

[There is significant disagreement with a staff member about their appraisal content, how should this be managed?](#)

This situation should be escalated to a senior manager within the department. If the situation cannot be resolved then appropriate HR advice should be sought from your CSU Operational HR Manager.

[My manager has signed my appraisal without my consent, what should I do?](#)

This situation should be escalated to a senior manager within the department. If the situation cannot be resolved then appropriate HR advice should be sought from your CSU Operational HR Manager

## Appraisal compliance reporting

[Who will appear on my reports?](#)

All staff within your CSU will be captured within your reports; these reports will exclude staff on maternity leave, long term sick leave, suspension or secondment where the relevant [ESR form](#) has been completed and submitted to the appropriate department.

[How soon after completing an appraisal will a name drop off the compliance report?](#)

Once the appraisal has been completed on the Training Interface, the record will be passed through to ESR and the name will drop from the compliance report, usually, within 3 days. This process could take up to 5 days.

[How frequently will I receive an appraisal compliance report?](#)

This report will be distributed on a weekly basis throughout the appraisal season to cost centre holders and other identified key staff members.

[What about short-term sick leave?](#)

Staff on short-term sick leave (<28 days continuously) will appear on the appraisal compliance reports; their appraisal should be completed upon their return to work at an appropriate time. Multiple periods of short-term sickness will not cause a staff member to be dropped from the compliance report. If an employee has not been absent for more than 28 days at the close of appraisal season then they will remain on compliance reports.

### What about long term sick leave?

Staff on long-term sick leave (>28 days) will not appear on appraisal compliance reports as long as the sickness has been recorded on ESR or eRostering (please note that recording on eRostering will update through to ESR but will take about a week longer to show.) If records are only updated at the month end then a delay in staff dropping off the report will be observed.

### I have a member of staff who is on my list but shouldn't be what can I do?

In the event that a staff member is no longer operating under your budget code please contact your relevant Workforce Systems sub-team for help in reassignment.

### My staff list seems smaller than usual?

To avoid duplication and for the ease of your teams we will only share the details of staff in your CSU/Corporate team where we haven't received a notification that their appraisal has been completed.

### Who else receives my appraisal compliance report?

If you work operationally your CSU Triumvirate Management Team will receive the report as well as any other individuals identified by them e.g. Personal Assistants, Secretary's and other staff involved in the management of appraisals within your CSU. If you work corporately, the Director for your service and any identified deputies will receive the reports.

### Will there be a league table?

In the spirit of competition, Organisational Learning will share with you and your identified deputies, a weekly league table detailing appraisal compliance by CSU as part of the appraisal season.

## Using the appraisal system in the Training Interface

### From where can I access the Training Interface?

Anywhere in the world, the Interface is hosted on the internet.


### From which devices can I access the Training Interface?

Most devices will allow you to access the Interface, however, to get the best experience from the Interface using a laptop or PC is recommended.

### I have forgotten my password how can I reset this?

Use the forgotten password option on the Training Interface login page to reset your password. If you are still having problems please raise a support ticket through the Training Interface and we will do our very best to help you.

### Where do I get help for each section of the appraisal?

Each appraisal section has a helpful video accessible through a button in the top right corner: 

### I have completed the appraisal but there is an error that needs to be corrected, what do I do?

Contact Organisational Learning at [leedsth-tr.mandatorytraining@nhs.net](mailto:leedsth-tr.mandatorytraining@nhs.net) and the appraisal can be unlocked to allow for correction.

### I have indicated on the Training Interface that the appraisal was completed on paper but this should be changed back to show it was completed using the appraisal system, can this be fixed?

Contact Organisational Learning at [leedsth-tr.mandatorytraining@nhs.net](mailto:leedsth-tr.mandatorytraining@nhs.net) and the appraisal can be reverted back to the online version.

### There is a priority that needs to be removed from the appraisal priorities review section, can this be done?

Priorities cannot be removed, they should be marked as 'Not achieved with mitigation' with appropriate comments attached.

### [New priorities have been established sometime after appraisal season closed, can these be added?](#)

Once the appraisal has been locked, no further changes can be made. If additional priorities are required then the 1:1 Chat facility in the Training Interface 'Reviews' section for that employee should be used to make a record. The content of the chat facility should be considered at the subsequent appraisal.

A further technical solution to address this requirement is being considered for future appraisal system development.

### [How are changes to a staff member's appraisal recorded?](#)

Every appraisal has an associated change log which records the detail of every change, who made the change and when it was made. This log is entirely transparent and viewable by both appraisee and all assigned appraising managers. This facility enables a full audit of the recording of appraisal should there be any dispute arising from the process.

## **What else?**

If you have a query which is not addressed by this FAQ, please check the [Appraisal Best Practice Guide](#) before emailing [leedsth-tr.mandatorytraining@nhs.net](mailto:leedsth-tr.mandatorytraining@nhs.net)

## **Contact and version information**

**Version:** Appraisal FAQ, v4 February 2022

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