

Appraise *with* values

Guidance for managers and staff

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Introducing Appraise with Values

Values-led organisations have more engaged staff, better teamwork and better patient experience. And this results in safer care with better outcomes for patients. Values should be 'lived' – in everyday work, not just 'laminated' – in posters on the wall. One way of doing this is to ensure values are included in regular and annual development discussions.




More than 750 NHS leaders, managers, clinicians and frontline staff were involved in co-creating this new approach to values-based reviews. In this work they told us:

- People do their best work:
 - when they can use their **strengths** and learn from **successes**, as well as **improving** and **learning** when things didn't go well
 - when they are **involved** in setting their goals, objectives and development pathway, and **supported** to deliver them
- Great performance needs **regular conversations**, as well as an **annual review**
- So that managers get to know their people, and so employees always know how they are doing: what they are doing well, as well as where they can improve



And a great annual development discussion uses the 4 S's

In the context of our Trusts ethos "every patient matters" ...

	 Successes	 Struggles	 Set goals	 Support
WHAT	• What are you proud of, what are your successes?	• What have you struggled, with / not met your goals?	• What goals should we set together for 6 – 9 months?	• What support do you need to meet your goals?
HOW	• How did you achieve this?	• How come this happened?	• How will you develop?	• How can we help?

Appraise with Values, using the 4 S's

- Appraise with Values is intended first and foremost to be a helpful conversation
- First talk about **successes**: what's gone well in the previous period, where the employee has successfully supported our ethos and met their objectives or development goals
- Then review together examples of where the employee has **struggled** to meet objectives or development goals, and has not been able to support our ethos
- And in the context of these examples **together discuss, identify and set goals** to be achieved in the coming year, along with any development needed to meet those goals
- Discuss the **support** that might be need including support from your manager, your health and wellbeing and for potential career progression.

For each of *the 4 S's* talk about both the What and the How

What are your successes, **what** have you struggled with, what goals should you set, and what support do you need to meet those goals? For each S be specific about two or three examples and talk through them in detail.

How did you achieve those, **how** come this happened, **how** will you develop? Explore the reasons behind those successes and struggles, and what might help to achieve your goals. We provide examples for discussion here; your strengths, your skills, your application of our values, and your support for EDI. There's more information on this in the guidance, but do be flexible and discuss what's important to you.

Here's the structure of a great annual appraisal or review conversation, using the 4 S's

In the context of our Trusts ethos "every patient matters" ...



Successes

- WHAT**
- **What** are you proud of, what are your successes?
- HOW**
- **How** did you achieve this?
 - ✓ Your skills
 - ✓ Your strengths
 - ✓ Your promotion of EDI
 - ✓ Living up to our values



Struggles

- **What** have you struggled, with / not met your goals?
- **How** come this happened?
 - ✗ Your skills
 - ✗ Your strengths
 - ✗ Your experience of EDI
 - ✗ Living up to our values



Set goals





- **What** goals should we set together for 6 – 9 months?
- **How** will you develop?
 - + Your skills
 - + Your strengths
 - + Growth through EDI
 - + Living up to our values



Support

- **What** support do you need to meet your goals?
- **How** can we help?
 - Support from your manager
 - Support for your wellbeing
 - Support for promotion or progression

The What's and How's explained

<p>Appraise With values</p>	<p>1. Successes </p> <p>What are you proud of, what are your key successes or achievements?</p>	<p>2. Struggles </p> <p>What have you struggled with? Where have you not met goals?</p>	<p>3. Set Goals </p> <p>What goals should we set together, to focus on in the next 6-9 months?</p>	<p>4. Support </p> <p>What support do you need to help you achieve your goals and development?</p>
<p>What</p>	<p><i>Specific achievements in delivering last year's goals or contributing to service objectives or Trust mission</i></p>	<p><i>Goals you didn't meet or where you could have contributed better to service objectives or Trust mission</i></p>	<p><i>Agree 2 or 3 specific goals for the next year that will contribute to meeting service objectives or Trust mission</i></p>	<p><i>What can the organisation do to help you meet your goals and your development needs?</i></p>
<p>How</p>	<p>How did you achieve these successes?</p>	<p>How come this happened?</p>	<p>How will you develop to reach your goals?</p>	<p>How can I help you, as your manager?</p>
<p>Your skills</p>	<p>✓ <i>How did your professional skills help you achieve these successes?</i></p>	<p>✗ <i>How might missing or underdeveloped skills have contributed to this?</i></p>	<p>+</p> <p><i>How might you develop your skills to help you to meet your goals?</i></p>	
<p>Your strengths</p>	<p>✓ <i>How did your personal strengths help you achieve these successes?</i></p>	<p>✗ <i>Times when your strengths were counterproductive or in overdrive?</i></p>	<p>+</p> <p><i>How might you develop your personal strengths to help you to meet your goals?</i></p>	<p>How is your wellbeing at work? What can we do together to support you?</p>
<p>Equality, diversity and inclusion</p>	<p>✓ <i>How did your promotion of or experience of EDI help?</i></p>	<p>✗ <i>How did your experience of EDI get in the way?</i></p>	<p>+</p> <p><i>How might you develop to further your support for EDI?</i></p>	<p>Would you like to talk at another time about progression or promotion?</p>
<p>Our values</p>	<p>✓ <i>Examples of when living up to our values helped?</i></p>	<p>✗ <i>Examples of when you struggled to live up to our values?</i></p>	<p>+</p> <p><i>How might you develop to more consistently role model our values?</i></p>	

THRIVE Values in Appraisals

It is important to include THRIVE values in appraisal discussions to ensure we are living up to the behaviours we expect from each other. In each of the 4 S's think about how our THRIVE values may apply.

- During your successes, were there any values you felt you lived up to?
- Were there any values you, or others were not living up to during your struggles?
- How do your goals support our values?

Use the framework below to help prepare for this part of the conversation.



THRIVE Behavioural Framework

Teamwork - We work mindfully and collaboratively to create a well-organised, professional and supportive atmosphere that achieves the best possible outcomes for all.

We work as part of a committed, supportive, collaborative and high-performing team by:

- Communicating effectively and respectfully with our colleagues.
- Valuing all contributions and taking the time to listen to each other.
- Making decisions together to provide the best possible service for all.

Honesty & Openness - We are open, authentic and have integrity and in all we do, reflecting on our actions to improve the quality of care and experience we deliver.

We have authenticity, transparency and integrity in all we do by:

- Openly sharing constructive feedback with others in a kind and empathetic way.
- Understanding the impact and value of our role on patients, colleagues and carers.
- Contributing to a just and learning culture by supporting colleagues to learn and reflect when things don't go as expected.
- Being open about every aspect of our work and the challenges that come with performing our roles.

Respect - We respect colleagues, patients and carers by actively listening, responding, and providing everyone with a voice to create a positive work atmosphere.

We treat others with mutual respect and fairness by:

- Showing empathy and understanding when communicating with others.
- Valuing the importance of everyone's role within the team and their distinct contribution to achieving goals.
- Taking the time to actively listen and respond to patients, colleagues and carers.
- Respecting each other as equally capable, independent people.

Inclusivity - We are fair and inclusive, giving access for all by considering and valuing difference, and appreciating the diversity within our community and workforce.

We show fairness and accessibility in all we do by:

- Supporting the diverse communities we serve in our working life.
- Confidently challenging discriminative behaviour.
- Considering different needs in order to:
 - Provide fair access for everyone to our services.
 - Ensure that our workforce has equal access to opportunities.

Valuing People - We value patients, colleagues and carers as individuals by showing care and empathy, working to create a culture where we look after each other's wellbeing.

We appreciate and support others by:

- Acknowledging everyone's efforts and successes.
- Taking the time to care for our own wellbeing and check in on others.
- Encouraging a supportive community that enables everyone to make a difference.

Excellence - We share knowledge, information and support each other to develop, innovate and learn. Always looking at ways we can improve the care, safety and experience of our patients and the sustainability of our hospitals.

We strive for continuous improvement, learning, growth and innovation for ourselves and others by:

- Being open to challenges and improvement.
- Acting on and embracing constructive feedback.
- Collaborating with others to share innovative ideas.
- Consistently learning from and reflecting on the things we get right and wrong.



Everyday performance discussions

Great performance needs regular conversations about performance, as well as an annual review. So managers get to know their people, and so staff always know how they are doing: what they are doing well, and where they can improve.

All feedback is positive because it helps us learn and grow. Studies show that people in good relationships and successful teams receive five times as much praise as criticism. In addition, people in appreciative relationships are more open to receiving critical feedback if it's needed, talking it through and resolving concerns.

Appreciative feedback

With appreciative feedback, we feel noticed, valued and useful. Genuine appreciation needs to be specific. Describe the **action** they took that you noticed. The **benefit** to you, the team, the patient or project. Finally, ask them to **continue** doing it. This drives repetition and performance.

Constructive feedback

The **BUILD** model is a simple structure for a great feedback discussion. It helps us to give fair, fact-based feedback. **BUILD** makes it easier to give and receive feedback, to move past the issue and find solutions together. Whenever any of us have issues with behaviour or performance we should raise and resolve them using the BUILD approach.

Coaching strengths

When people are using their strengths at work they tend to be more engaged, more productive and deliver higher quality work. This quick conversation enables manager and employee to learn from successes, and to apply that learning to areas where performance can improve.

The ABC of appreciation

A	Action This is what you said or did
B	Benefit The positive impact it had
C	Continue Thanks, please keep doing this

ABC of Appreciation is © A Kind Life Ltd. *a kind life*

BUILD constructive feedback

B	Describe the Behaviour . Observations not judgments.
U	(Understand their context. Step into their shoes. Unsaid).
I	Describe the Impact on... you, others, outcomes or the work
L	Listen to them. (<i>Don't ask 'why?'</i>) "What was happening there?"
D	Ask 'what might you Do differently?' <i>It's a Dialogue</i>

BUILD feedback model is © A Kind Life Ltd. *a kind life*

S	Successes What is your success story this week / period? What have you achieved. What are you proud of?
T	Talents We all have individual strengths. Which of your talents / strengths helped you to achieve this?
R	Reasons What is it about these strengths that helped you make these successes happen? Let's dig deeper into reasons .
O	Opportunities Which specific aspect of your job are you struggling in right now? Where is the opportunity to do better?
N	New use How might you use the strengths you talked about, in a new way , to help you improve in that area?
G	Group What different strengths do other people in the team or group have, and you could ask for their help?

Additional guidance

Additional guidance in the following appendices

- Strengths vs Skills
- Wellbeing conversations
- Great preparation
- Active listening
- Setting goals
- Top tips for managers
- Top tips for employees

The difference between **skills** and **strengths**

Skills and strengths are quite different things. Here's what we mean...

- **A skill** is something you can learn (and master) through repetition. Something that with investment of time and practice anyone could learn. Skills may include:
 - Technical skills e.g. IT, touch-typing, plumbing or cookery
 - Clinical skills e.g. diagnosis, surgical techniques or therapies
 - Inter-personal skills e.g. feedback, listening or communication
 - Management skills e.g. delegation, coaching or mediation
- **A strength** is something innate, that you do without trying and didn't have to learn. Think about character traits like curiosity or decisiveness. Strengths may have been present much of your life, though they can also be fostered, enhanced and even discovered over time. They are uniquely you. **Choose 1 or 2 strengths from this list.**



Understanding your strengths is useful in three key ways:

1. **When you use your strengths** at work you are more likely to feel energised in your work, lose yourself in your work – also called 'flow', and be happier. Read about your strengths and recognise yourself on the next page.
2. **Other people have complementary strengths** to ours. Because they are energised by different things, it can sometimes feel like conflict. E.g. optimism vs critical thinking. But this diversity of strengths can be useful in a team.
3. **Your strength can sometimes 'go into overdrive'** and become a barrier to your successful work and interactions. Self-belief can tip into arrogance, over-enthusiasm become overbearing, too much adaptability means you might not stick the course when things are tough. These aren't weaknesses, it's just at these times you may need to 'dial down' your strength. Read about how your strength can show up as a barrier on the following page.

HEARTS wellbeing conversations

- Evidence shows that when staff wellbeing is flourishing, patient wellbeing improves too
- As managers we are responsible for our employee's wellbeing
- The NHS People Plan suggests every employee should be able to have a wellbeing conversation with their manager at least once a year
- This conversation should be separate to the annual performance review

You may want to use the following guidance for your conversation

1. **How are you?** Just listen, hear and empathise. Don't try to fix, find solutions, minimise ('at least') or compare, at this point...
2. **How is your wellbeing?**
 - Emotional, physical, work/life balance, family/socially, sleep
 - You may also use the HEARTS framework to frame discussions



Health
Mental / physical



Equity
and fairness



Alignment
to values



Relationships
and connection



Time
To do a great job



Satisfaction
and engagement

3. How can I help you to improve your wellbeing?
4. How can the organisation help you improve your wellbeing?
5. You can track wellbeing in regular pulse surveys. Ask people how often they are feeling the following. You may want to explore some of these in your discussions: happy, valued, calm, optimistic, physically well, treated fairly, safe, connected/low, stressed, drained, anxious, unwell, treated unfairly, lonely

Additional guidance for managers & employees

The value of annual appraisals

The benefits of good appraisals are well documented; they are linked to better quality of care, role clarity, clear goals, individual development plans, increasing motivation, identifying and supporting talent. However, it has also been well documented that inadequate appraisals have a more negative effect on staff morale and engagement than not doing it at all so it is important to do it well.

Why appraisals are important - what 'we give and what we get'

The purpose of the end of year appraisal (every 12 months) is for the individual and their line manager to jointly

- Provide recognition and thanks for personal contributions over the year
- Build the relationship through a quality meaningful conversation
- Embed the organisation's values and supporting behaviour standards
- Align efforts to deliver departmental and overall organisational goals
- Identify personal and professional development opportunities
- Provide a sense of personal growth in terms of current performance and future potential – with an eye on career progression
- Address any issues with the employee's personal wellbeing
- Underline the importance of teamwork
- Ensure mandatory training and performance standards are being met

Appraisal conversations should largely be a positive experience. If someone is not performing to the expected standard this also needs to be discussed in the performance review, however, **there should never be any surprises at the formal review** and any performance issues should be addressed as soon as they arise rather than waiting for the formal discussion.

Preparation

To support meaningful and helpful appraisals both reviewer and reviewee need to spend some time on reflecting on the year gone by and ideas/aspirations for the coming year.

Reflections for both to consider before the discussion

- **What's gone well over the last 12 months?** What are your success stories? What are you most proud of? What are two or three key achievements? Where have you been able to develop your skills or results?
- **What have you found challenging over the last year?** Where have you struggled? What have you worked through or improved on in the year? What feedback have you had from others about your skills, teamworking or performance?
- **Think about our values and behaviours.** How have your behaviours reflected the organisation's values and behaviours? Where have you been a role model of our values? Are there areas where you could have been more consistently values-led?
- **Consider Equality, Diversity and Inclusion (EDI).** How have you promoted, supported or encouraged EDI in your team or across the organisation? Have you benefitted from EDI initiatives? Or have you suffered because of who you are?
- **How is your health and wellbeing at work?** What can we do together to help you?
- **What do you want to achieve over the next 6-9 months?** Both in terms of your work goals but also your learning, development and growth? And what support might you need to meet these goals? From your manager, from others in the team? Is there any training or development you'd benefit from?

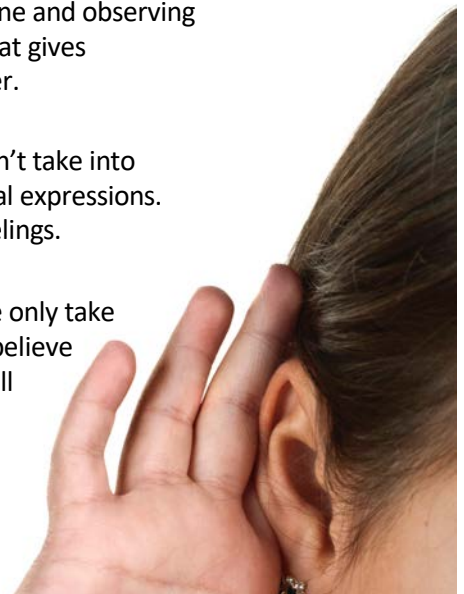
Remember it is the quality of the conversation – not the form filling - that dictates the value and meaningfulness of the review for the employee.

Your reviewee should be doing most of that talking, so think about how you can improve your own listening skills. Here's a reminder of the listening ladder, that's covered in the e-learning.



The listening ladder

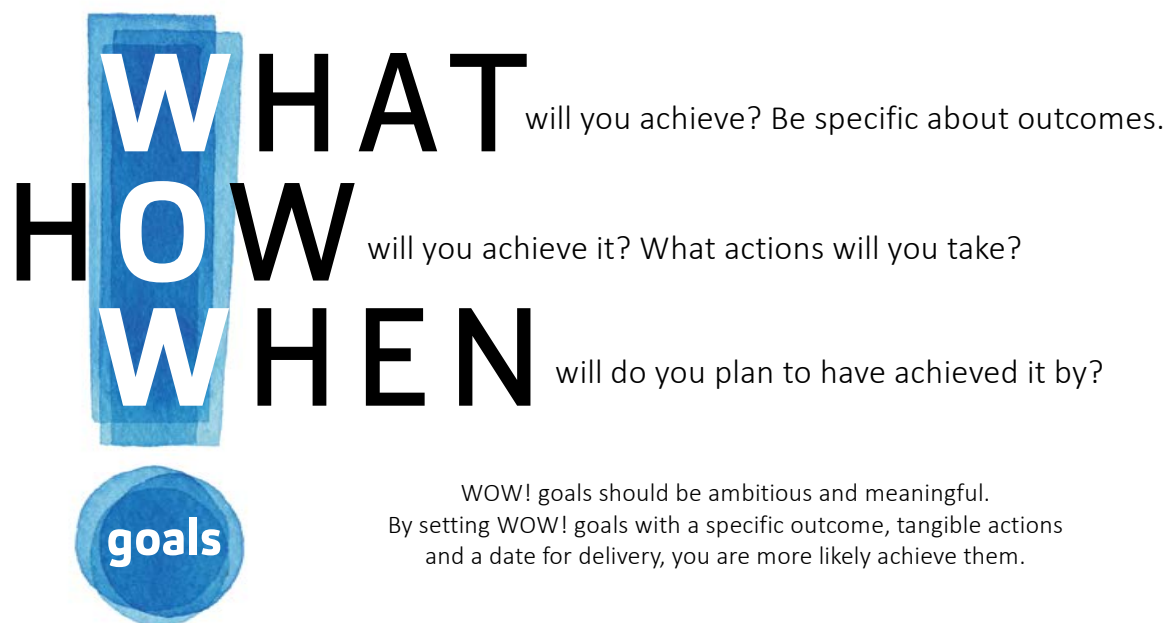
4. **Empathetic listening.** Actively listening to words, tone and observing and calibrating body language. Two-way listening that gives feedback and checks understanding with the speaker.
3. **Attentive listening.** We listen to the content but don't take into account non-verbal signals like tone-of-voice or facial expressions. Can fail to gather and so respond to emotions or feelings.
2. **Selective listening.** Also called 'biased listening'. We only take in enough information to confirm what we already believe or project our own interests. "Really? Well let me tell you what happened to me."
1. **Pretend listening.** We are not concentrating and will not remember anything. We respond with the occasional nod, 'umm' or stock 'safe' reply.



Setting goals

It's important when setting goals that you agree clear outcomes and actions. Traditionally people set SMART goals (Specific, Measurable, Achievable, Realistic and Time-based). Some people find this a little complex, so we also offer you a simpler method... WOW goals. This three-step approach allows you to define the outcome, the actions and timeframe.

When it comes to setting goals. Set goals that make you go 'WOW!'



Top tips for managers

Before the discussion

1. **Get to know your appraisee/s** and build a good working relationship. Within the first 6 weeks of staff starting a new role, it is good practice for line managers to meet with them to agree their performance and learning objectives for the year ahead. Current and future objectives should be entered in the system to have them available for future appraisals.
2. **Plan ahead** – check when your appraisees are due to be appraised by, and ensure they are in both your calendars in plenty of time
3. **Provide protected time** for your appraisees to prepare for the appraisal and consider personal development options that may be available to them.
4. **Be prepared** – Reflect on your appraisee's overall performance and competencies. Look at their previous review outcomes and review their performance: Have they met their

objectives? Are their current objectives specific enough? Are they aligned to the organisation and department objectives? Do they demonstrate the required competencies for their role? Do they demonstrate the Trust values in their behaviour? Have they been an active participant in your efforts to improve equality, diversity and inclusion in your team and across the organisation?

Never wait for the appraisal meeting to start discussing any concerns about your staff performance and/or competencies. Ongoing coaching is essential using ABC, BUILD and STRONG to avoid any surprises.

At the discussion

5. **Thank your appraisee** - not only for their overall contribution but for specific things they have done, giving examples. This is your opportunity to appreciate the value they bring.
6. **Time Management** of the appraisal meeting. Ensure you manage your time to provide a general overview, review previous objectives, discuss success and struggles, and set new objectives for the incoming year. Make time to listen to their evidence, give feedback and discuss their development options.

Do not let the completion of the form dominate the flow of your meeting. The form is only there to record information. The value is in the discussion.

7. **Engagement and empathy** – During the meeting use active listening, let the appraisee do most of the talking and welcome their honest feedback.

After the discussion

8. **Upload the completed appraisal forms to ESR**

If you are not completing the form at the meeting, please make sure you let the appraisee know that they will receive a copy.

9. **Follow up agreed actions**

Follow up any agreed actions on your part. Set a date for a progress review or 1 :1. The appraisal review should not be an isolated annual meeting.

10. **Reflective practice**

Take some time for self-evaluation. What went well in the meeting – the successes in your appraisal discussion. What could you have done better? Were you positive? Did you listen? Did you set the clear job objectives and at the appropriate level? Did you make them feel the meeting was worthwhile, even if they were at the top of their band? Did you receive any feedback? Are there any follow up actions?

Tips for employees

Before the discussion

1. Keep a record

We are all subject to ‘recency bias’ where recent events seem more important. You want to ensure your development discussion covers the highs, lows and opportunities across the whole year. So firstly, keep a record of feedback you get, both positive and constructive. As well as providing evidence for long-running issues, it enables you to take a broad view of your own performance across the year.

And secondly, keep coming back to the work and development goals you set at your last discussion. Document milestones and achievements. Or barriers you have come up against.

2. Don't wait to ask for feedback

One of the reasons we can find the annual review daunting is the uncertainty. Not knowing whether you are doing well. And what issues will be raised. Our approach is for there to be no surprises in the annual discussion. Your manager's role is to give you feedback – both positive and constructive – whenever it's needed. So you can be confident you are doing a good job and meeting expectations.

But it's your responsibility too. If you are unsure then ask for feedback, so you can respond while it's relevant, and deal with problems in a timely way.

3. Think about your goals

This is a great opportunity in the annual development discussion, and you don't want to miss out on it. So think in advance about what development would be valuable for you.

What are your personal work goals? These might be about career development. They could also be about developing within your role. What new skills might you need to meet these goals?

4. What are *your* 4 S's

Go back over your notes of the year, sit and reflect and think back for a few minutes.

In the light of your personal development goals, what are the two or three examples that will be most helpful to talk about with your manager.

Successes: what are your success stories, and how did you achieve them?

Struggles: what have you had difficulty with, and how come that happened?

Set goals: what goals will help you contribute to the organisation and how can you develop to meet them

Support: what support can your manager give you to meet your goals and improve your wellbeing?

At the discussion

5. Listen

This is just as important for you, as it is for your manager. It's not enough just to let the other person talk. Hear what your manager is saying. Take time to understand why they might be saying it. If you are unsure – ask questions to clarify your understanding. Your manager is going to be looking for signs that you're taking their feedback on board, and active listening is a great way to show you are.

6. Don't be shy with successes

The most successful organisations find their successes, learn why they are successful, and share that learning. It's the same with people. You'll develop quicker, grow faster and deliver more by learning from your successes, than just fixing weaknesses. So don't be shy with your success stories.

7. Be honest

You want to do a great job, So if something is negatively impacting your work, it's important to talk about that with your manager. That's the only way they can help you improve. Remember your manager is not all-seeing and all-knowing. If you don't tell them they might never know, and you won't be able to get the help you need.

8. Be open

When we get feedback that feels critical, the most common reaction is to find reasons why it might not be true. It's easy to fall into defensiveness, especially if it's unexpected. So rather than justifying or arguing, rely on active listening and ask questions to get more information. Use the BUILD approach to move past the issue, talk about how you might do this better or differently. Ask for advice on how to improve. Which leads us to...

After the discussion

9. Reflective practice

Take some time for self-evaluation. What went well? How did you contribute to a successful appraisal discussion? Is there anything you could have done better or differently? Were you open and honest? Did you listen? Were there any surprises? Have you asked for feedback through the year? Did you take the most out of this development opportunity? What might you do differently in your next development discussion?

10. Apply what you heard

You'll leave your one-to-one with a better, refreshed understanding of the strengths you bring to your work, areas to improve, and your direction for the next year. The most important thing is to make sure you remember all this valuable stuff as you walk out the door and head back to the day job.

So, head back to point 1 of these top tips, and start again...