

AJ AND FRIENDS C.I.C.

AJ and Friends 6 Carlton Lane Centenary Building Hoylake Wirral Merseyside CH47 3DB



Review Sheet



Last
Reviewed
5 Oct 2023

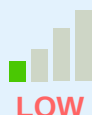


Last
Amended
5 Oct 2023



This policy will be reviewed as needs require or at the following interval:
2 years

Business Impact:



Minimal action required. Circulate information amongst relevant parties.

Reason for this Review:

Scheduled review

Changes Made:

Yes

Summary:

This policy sets out the process an employer should follow when conducting appraisals. Whilst there is no legal obligation to conduct appraisals, they can be useful to discuss an employee's performance and any concerns an employee may have. This policy has been reviewed with no amendments.

Relevant Legislation:

- The Care Act 2014
- Companies Act 2006
- Employment Rights Act 1996
- Equality Act 2010
- The Health and Social Care Act 2008 (Regulated Activities) Regulations 2014
- The Health and Social Care Act 2008 (Regulated Activities) (Amendment) Regulations 2012
- Health and Safety at Work etc. Act 1974
- Human Rights Act 1998
- Management of Health and Safety at Work Regulations 1999
- Data Protection Act 2018
- UK GDPR

Underpinning Knowledge:

- Author: NHS Improvement, (2018), Non-executive performance appraisal: a good practice guide [Online] Available from: <https://www.england.nhs.uk/non-executive-opportunities/chair-non-executives-support/non-executive-performance-appraisal-good-practice-guide/> [Accessed: 05/10/2023]
- Author: Care Quality Commission, (2022), Fit and proper persons: directors [Online] Available from: <https://www.cqc.org.uk/guidance-providers/regulations-enforcement/fit-proper-persons-directors> [Accessed: 05/10/2023]
- Author: Information Commissioner's Office, (2021), UK GDPR guidance and resources [Online] Available from: <https://ico.org.uk/for-organisations/uk-gdpr-guidance-and-resources/> [Accessed: 05/10/2023]

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Suggested Action:	<ul style="list-style-type: none"> Encourage sharing the policy through the use of the QCS App
Equality Impact Assessment:	<p>QCS have undertaken an equality analysis during the review of this policy. This statement is a written record that demonstrates that we have shown due regard to the need to eliminate unlawful discrimination, advance equality of opportunity and foster good relations with respect to the characteristics protected by equality law.</p>

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1. Purpose

1.1 To ensure directors/trustees are aware of the process for their appraisals.

1.2 To provide information so that AJ AND FRIENDS C.I.C. understands the reasons underpinning appraisals and the importance of them for the development of their directors/trustees and for business continuity.

1.3

Key Question**Quality Statements**

RESPONSIVE	QSR4: Listening to and involving people
WELL-LED	QSW1: Shared direction and culture QSW2: Capable, compassionate and inclusive leaders
WELL-LED	QSW5: Governance, management and sustainability

1.4 Relevant Legislation

- The Care Act 2014
- Companies Act 2006
- Employment Rights Act 1996
- Equality Act 2010
- The Health and Social Care Act 2008 (Regulated Activities) Regulations 2014
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- Health and Safety at Work etc. Act 1974
- Human Rights Act 1998
- Management of Health and Safety at Work Regulations 1999
- Data Protection Act 2018
- UK GDPR



2. Scope

2.1 Roles Affected:

- Other management

2.2 People Affected:

- V.I.Ps

2.3 Stakeholders Affected:

- Family
- Advocates
- Representatives
- Commissioners
- External health professionals

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AJ and Friends 6 Carlton Lane Centenary Building Hoylake Wirral Merseyside CH47 3DB

- Local Authority



3. Objectives

- 3.1** To identify the individual director/trustee's training and development needs that are required to meet the goals of AJ AND FRIENDS C.I.C..
- 3.2** To highlight the potential for each individual director/trustee to develop within their current position, or into another.
- 3.3** To ensure that directors/trustees are aware of the contribution they make to the achievement of the objectives of AJ AND FRIENDS C.I.C..
- 3.4** As an additional screening tool in determining compliance with Regulation 5 of the Health and Social Care Act 2008 (Regulated Activities) Regulations 2014 (as amended).



4. Policy

- 4.1** AJ AND FRIENDS C.I.C. recognises that good governance requires the board and its directors (or equivalent) to be held to account as the 'controlling mind' of the organisation.
- 4.2** As such, AJ AND FRIENDS C.I.C. recognises that a well-functioning appraisal system is fundamental in supporting directors/trustees to reach their individual and collective potential and meet business objectives.
- 4.3** AJ AND FRIENDS C.I.C. will ensure that each director/trustee will be formally appraised annually.
- 4.4** Appraisals will be conducted by the Chair of the Board who will be equipped with the necessary knowledge and training regarding the appraisal process of AJ AND FRIENDS C.I.C..

The Chair will be appraised by a suitable independent individual appointed by Beverley Williams - AJ and friends C.I.C. of equal or greater seniority.

- 4.5** AJ AND FRIENDS C.I.C. supports a culture of learning and development and will use the appraisal as an opportunity to explore each individual's needs.
- 4.6** During the appraisal, the appraisee will be able to contribute fully to the process. A written document will be produced which will highlight the salient points discussed. This document can then be used as a working document and referred to throughout the year.
- 4.7** Personal appraisal documentation must be stored in the individual director's/trustee's file and be subject to the normal security and privacy measures applying to that file under data protection laws.
- 4.8** The appraisal system of AJ AND FRIENDS C.I.C. will be reviewed and evaluated as part of quality assurance to ensure that it is an efficient and effective system meeting both business requirements and the needs of employees and non-executives.



5. Procedure

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5.1 Training for Appraisals

- Training or coaching will be provided to all appraisers prior to conducting their first appraisal interview, and refreshed as identified in their appraisal
- AJ AND FRIENDS C.I.C. will not conduct appraisals without the appropriate training
- This policy will be disseminated by AJ AND FRIENDS C.I.C. to all directors/trustees to ensure that they understand its policy on director/trustee appraisals

5.2 Schedule for Appraisals

- Appraisal interviews will take place on an annual basis during a two-month period which is announced well in advance
- The scheduled appraisal period will follow shortly after the finalisation and publication of the Annual Business Plan Review
- The schedule for carrying out appraisals will ensure that the most senior person in AJ AND FRIENDS C.I.C. has their appraisal first, followed by the next most senior, etc. This will facilitate the communication of corporate objectives more effectively

5.3 Distribution of the Business Plan for Appraisals

AJ AND FRIENDS C.I.C. will ensure that the Business Plan is available before appraisals begin so that:

- Those to be appraised have received at least that portion of the plan which relates to them
- Each director's/trustee's contribution to the achievement of that plan has been identified
- Those being appraised have sufficient time to explore and understand their section of the Business Plan

5.4 Responsibilities for Appraisal

- Appraisal interviews will be carried out by the Chair on a one-to-one basis

5.5 New Directors/Trustees

New directors/trustees will be appraised in their sixth month of management, and thereafter on an annual basis that coincides with the overall schedule.

5.6 Prior to the Appraisal

Prior to appraisal, and with as much notice as possible, appraisers will inform the appraisee that their interview is due and give them the Appraisal Preparation Form together with the current Job Description and (if any) task list.

The appraisee will be shown the Appraisal Form to ensure that they are aware of the types of questions they will be asked and so that they can prepare for them. The appraiser will gather appropriate information relevant to the performance review, such as:

- Supervision records
- Training records
- V.I.P feedback
- Co-directors'/trustees' feedback
- Any additional evidence

Feedback from V.I.Ps and co-directors/trustees will be generalised unless specific situations require greater detail. In these cases, Beverley Williams will be consulted and consent will be sought from the individuals.

AJ AND FRIENDS C.I.C.

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As the appraisal proceeds, any matters requiring action must be listed on the Action Plan located at the end of this policy, noting all agreed actions, together with agreed resources and target dates.

5.7 Appraisal

- The appraisal interview will take place in private, in comfortable surroundings with no distractions, and not overlooked by other people
- Relevant points will be recorded by the Appraiser of the meeting working through the forms
- Any matters requiring action must be listed on the Action Plan located at the end of this policy, noting all agreed actions, together with agreed resources and target dates
- Any reasonable adjustments that the person being appraised has in place and which may be needed for the meeting should be in place

5.8 Regulation 5: Fit and Proper Persons: Directors

All directors/trustees are required to complete a statement of 'Fitness' to be reconfirmed with the Appraiser. Where this statement is not agreed, the Fit and Proper Person - Directors (CQC) Policy and Procedure must be followed to either confirm fitness, or take the necessary action required based on the facts gathered.

5.9 After the Appraisal

Appraisal forms will be completed by the appraiser shortly after the interview takes place, with a short follow-up meeting to review, agree and sign the form.

- Those being appraised must be given the opportunity to read the Appraisal Form, ask any questions and check for factual accuracy before signing
- A copy of the completed Appraisal Form will be given to the appraisee

5.10 Any items on the Action Plan requiring the actions of others, or for others to be informed, will be added to the appropriate individual's Action Plan or the general Action Plan.

5.11 Ongoing Purpose of Appraisal

The completed Appraisal Form and Action Plan must be viewed as working documents and, as such, be continually referred to and reviewed throughout the year.

The next annual review provides a final point to review the year's objectives and actions.

5.12 Progress against the Action Plan will be reviewed by the appraisee and their line manager at each supervision following the appraisal and at other performance review meetings.

**6. Definitions****6.1 Appraisal**

- Formal process, involving the review of an individual's performance and improvement over a period of time, usually annually
- It includes evaluation of goals and objectives; evaluation of role; identifying positive performance; identifying areas for improvement and identifying and planning how development needs will be met

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- At board level, this displays good governance and greater accountability for directors
- Appraisal can form part of the process to ensure directors are 'Fit and Proper' as described in Regulation 5 of the Health and Social Care Act 2008 (Regulated Activities) Regulations 2014

6.2 Objectives

- Tangible things an individual who has a role with {reg_provider} needs to achieve
- Within appraisal, this may be over a year, or at a staggered pace within the year
- Objectives should be SMART:
 - Specific
 - Measurable
 - Agreed
 - Realistic
 - Time-related

6.3 Chair (CQC Definition)

- Chair means the person who is the chair of the board or equivalent of the organisation or, where there is only one director or equivalent, the person who makes decisions on behalf of the organisation, such as a sole director or equivalent

6.4 Directors

- In this policy directors is a term used to encompass executive and non-executive directors, trustees or the equivalent
- - The term equivalent is used by CQC as many organisations have different names for responsible and accountable persons who hold senior roles who are the 'controlling mind' of the organisation
- Responsible and accountable for delivering care, including associate directors and any other individuals who are members of the board, irrespective of their voting rights
- Directors are the group of people constituted (formally or informally) as the decision-making body of the organisation including interim positions as well as permanent appointments. It also includes trustees of charitable bodies and members of the governing bodies of unincorporated associations (CQC definition Reg 5)

6.5 Fit and Proper Persons

- Regulation 5 of the Health and Social Care Act 2008 (Regulated Activities) Regulations 2014 relates to 'Fit and Proper Persons Directors', describing what a director or equivalent should and should not be, the Provider's responsibilities in regard to fitness and what CQC's role is
- This regulation does not apply to the legal entities 'individuals' or 'partnerships'

**7. Key Facts - Professionals**

Professionals providing this service should be aware of the following:

- AJ AND FRIENDS C.I.C. operates an appraisal system annually with all

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directors/trustees

- We formally discuss and review existing objectives, new objectives and the support and training required to develop directors/trustees
- Any information we receive from external professionals will be reviewed, and where appropriate, we will feed this into our processes



8. Key Facts - People Affected by The Service

People affected by this service should be aware of the following:

- To ensure you receive the highest level of quality Care from staff, each director/trustee of AJ AND FRIENDS C.I.C. undergoes a formal appraisal process once a year with the Chair. The process looks at the work they have done and looks at what AJ AND FRIENDS C.I.C. needs them to do in the future
- AJ AND FRIENDS C.I.C. will always support its directors/trustees to achieve their very best, and provide the right training for them to do this
- If you have any concerns about senior management or wish to compliment them, you can speak with a member of staff, use our formal complaints procedure if you need to make a complaint, or place your comment in our suggestions box. Your information will feed into our process



Further Reading

There is no further reading for this policy, but we recommend the 'Underpinning Knowledge' section of the review sheet to increase your knowledge and understanding.



Outstanding Practice

To be "outstanding" in this policy area you could provide evidence that:

- Appraisees are given time and support to understand new objectives, and come back with any questions or solutions
- V.I.Ps form part of the process
- Supervisions and appraisals are clearly linked and support each other, with the person in receipt being the focus for all activity
- There is 360-degree feedback from other directors/trustees, professionals and direct reports working with appraisee manager, with evidence of how this constructive information forms new objectives
- Senior managers ensure that their objectives are linked to their direct reports to provide continuity and clear accountability
- Resources are made available to ensure that any developmental objectives are able to be delivered effectively for appraisees

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- The wide understanding of the policy is enabled by proactive use of the QCS App

**Forms**

The following forms are included as part of this policy:

Title of form	When would the form be used?	Created by
Preparation for Appraisal - PR22	This section is to be completed by the appraisee, prior to appraisal interview.	QCS
Performance Appraisal Form - PR22	This section is to be completed by the appraiser before the interview.	QCS
Interview Notes - PR22	To be completed during the interview, or a short re-interview arranged later to discuss.	QCS
Fit and Proper Persons Requirement Declaration - PR22	For directors/trustees required to complete a statement of 'Fitness'.	QCS
Action Plan - PR22	To create a plan for the forthcoming year.	QCS

Preparation for Appraisal - PR22

This section is to be completed by the appraisee, prior to appraisal interview.

Name:			
Role within AJ AND FRIENDS C.I.C.:			
<p>Appraisal is intended to allow the provider and appraisee to regularly discuss the provider's requirements of directors/trustees, as dictated by the Business Plan. To clearly identify and communicate the individual's part in achieving the objectives of the business and the support which is required, the appraisee needs to be able to respond positively to that need. It is recommended that this form is used to help you think about the role you undertake, prior to your interview, of which the date and time is:</p> <p>____/____/____ am/pm</p>			
Date:		Time:	
Describe your understanding of your key responsibilities and duties.			
Which parts of your responsibilities do you feel you do well?			
List the objectives you set out to achieve in the past 12 months (or the period covered by this appraisal) with the measures or standards agreed.			
Objective	Measure/Standard	Score	Comment
What you agreed last year to achieve.	What measure you agreed to in order to identify when you had reached the objective.	Score from 1 to 5	
		1 = Poor	
		3 = Adequate	
		5 = Excellent	
Which parts of your responsibilities do you have difficulties with and are there any obstacles which cause you particular problems?			
In particular, do you consider that you have been adequately supported by the other directors or trustees in carrying out your objectives as agreed?			
What further training (if any) do you feel you need in order to carry out your responsibilities? What further support (if any) do you feel you need?			

Describe how you feel about your responsibilities for compliance with legal requirements. Particularly note any difficulties in achieving compliance which you regard as not within your control, for which you feel you lack support, or for which you feel you lack training.

How do you feel you are regarded by the other board members? Do you have any issues with the relationships which affect your performance and which may be assisted by training or coaching?

Are there any other points you would like to raise with your appraiser?

Performance Appraisal Form - PR22

This section is to be completed by the appraiser before the interview.

Name of Appraisee:			
Role:			
Length of time in current position:			
Appraiser name:			
Date and Time:		____/____/____ ____am/pm	
Current Business Needs			
Set out the current priorities as identified in the Business Plan and highlight those that the appraisee can make a contribution towards achieving.			
Record of gathered information relevant to the appraisal (include informal information from colleagues and V.I.Ps).			
Current Performance			
List the key areas of the director's role, highlighting strengths and skills that have contributed to how well the director has done their job during the appraisal review period.			
List the objectives which the appraisee had agreed to achieve in the past 12 months (or the period covered by this appraisal) with the measures or standards agreed.			
Objective	Measure/Standard	Score	Comment
What you agreed last year to achieve.	What measure you agreed to in order to identify when you had reached the objective.	Score from 1 to 5	
		1 = Poor	
		3 = Adequate	
		5 = Excellent	
Current Performance - Continued			
Capability Area	Appraiser's Score	Appraisee's Score	Notes and Comments

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Championing Standards of Senior Role in Appearance and Conduct			
New Role Requirements: (please specify)			
Inspiring Shared Purpose			
Leading with Care			
Evaluating Information			
Connecting Our Service			
Sharing Vision			
Communicating to and Engaging the Team			
Developing Capability			
Influencing for Results			
Legal Compliance - Care			
Legal Compliance - General Compliance			
Current Performance - Continued			
How could the appraisee improve the way they undertake their responsibilities, other than the specifics agreed above? Detail how this is to be achieved.			
Development and Training			
Discuss and record what development the appraisee could usefully undergo in order to meet objectives. Consider future potential and development, in particular highlighting specific areas for training.			
Role Description			
In the light of this appraisal, identify any changes to the key areas of the role description and make recommendations for any appropriate amendments.			

Interview Notes - PR22

Appraiser's Comments (to be completed during the interview, or a short re-interview arranged later to discuss).		
Appraisee's Comments (to be completed during the interview, or a short re-interview arranged later to discuss).		
I hereby confirm that this is a fair and accurate representation of the appraisal discussion.		
Signature (appraisee):		
Signature (appraiser):		
Date:	____/____/____	

Fit and Proper Persons Requirement Declaration - PR22

I hereby confirm that I continue to be fit for the role of director/trustee as set out in Regulation 5 of the Health and Social Care Act 2008 (Regulated Activities) Regulations 2014.	Yes / No
Details of non-compliance if answering ‘No’:	
Signature (appraisee):	
Date:	

Action Plan - PR22

Agree a plan for the forthcoming year (whenever possible). A timescale of action and results to be achieved should be agreed where appropriate.		
Name:		
Key Areas Discussed	Action plan to be followed. State by whom.	Target Date