

Supervision and Appraisal Policy

Document History:

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This policy was approved on 10/08/11 and will be reviewed within one calender year.

Supervision and Appraisal Policy

Definition of Supervision

Supervision is the term used to describe a line manager and a member of staff meeting on a regular basis to discuss their work plan, priorities and objectives and any personal issues which may arise. The purpose of supervision is to manage and support staff members so as to ensure they are able to fulfil their role within the organisation effectively and efficiently. Supervision is normally carried out on all paid staff and volunteers.

The frequency, length, format and content of supervision sessions should be discussed and agreed between an individual and their line manager and ground rules agreed as part of the first supervision session. The main functions of supervision are:

- Management – to oversee and ensure the overall quality of performance, to review workload and agree short-term tasks and ensure that the individual understands his/her role and responsibilities.
- Development – to develop the skills and capabilities of the individual, provide regular feedback and to assess the short-term training, learning and development needs
- Support – to motivate, giving him/her the opportunity to offload or discuss any work-related problems and monitor health and wellbeing, particularly in relation to stress.
- Communication, Liaison and Mediation – to establish organisational accountability, consult with and brief individuals about organisational changes and facilitate communication between staff members and management.

Both the line manager and the individual should contribute items to the agenda of supervision sessions. Regular items should include:

- Review of work undertaken and progress against work-plan
- Problem solving and discussion of any difficulties
- Planning of future work, agreement of priorities and allocation of specific tasks (to both parties)
- Individual's role and functioning within the team and the wider organisation
- Personal issues affecting work
- Discussion of any wider organisational issues
- Immediate training and other support needs

The line manager should make a written record of the supervision session as soon as possible and this should be agreed, signed and dated by both the line manager and the individual. Information discussed at supervision sessions should be treated confidentially between the individual and the supervisor.

Definition of Appraisal

Appraisals are a record and assessment of an individual's performance, achievements, potential and development needs. The appraisal is an opportunity to take an overall view of work content, skills and abilities and to look back on what has been achieved during the reporting period and agree objectives for the next. The appraisal is usually an annual meeting, but with a six month review, and the notes from supervision meetings can be used to form the basis of a review of achievements and performance. The purpose of the appraisal is to:

- Recognise achievements and enhance job satisfaction.
- Plan how to address training and development needs.
- Take an overview of work content and agree future objectives.
- Monitor progress against agreed work-plans.
- Assist in the professional development of the individual.

- Review supervision arrangements.
- Provide an opportunity for the individual to discuss their support needs and to understand their line manager's work in relation to their own.

Paid staff should receive a probationary appraisal at the end of their probation period, and an annual appraisal thereafter.

Volunteers should be offered a regular opportunity to discuss their role and development. This would normally be less formal than staff appraisal.

Storing Staff Supervision and Appraisal Records

Supervision and appraisal records will be held on file by the line manager in a securely locked cabinet. Where files are also held on computer, they will be stored in a password-protected folder. Staff will have access to their file on request.

When a member of staff has left the organisation, supervision and appraisal records should be kept in the personnel file for as long as is deemed necessary, in line with Woking Mind's Data Protection Policy.

Conducting an appraisal

The five key elements of the appraisal are:

1. **Measurement** – assessing performance against agreed targets and objectives.
2. **Feedback** – providing information to the employee on their performance and progress.
3. **Positive reinforcement** – emphasising what has been done well and providing constructive criticism about what might be improved.
4. **Exchange of views** – a frank exchange of views about what has happened, how employees can improve their performance, the support they need from their managers to achieve this and their aspirations for their future career.
5. **Agreement** – jointly coming to an understanding by all parties about what needs to be done to improve performance generally and overcome any issues raised in the course of the discussion.

There are many ways to conduct an appraisal, but as a general rule it is helpful to have some information on the following:

1. **Objectives** - whether they were achieved and if not the reasons why.
2. **Competence** – whether performance is below, within or above the requirements of the role. An assessment against the job description and person specification.
3. **Training** – what training has been completed in the review period? What impact the training has had on performance and what training or development they need in the future?
4. **Actions** – a note of any actions that need to be carried out by the employee or the manager.

Preparing for the appraisal

The employee should be given advance notice of the meeting and given adequate time to prepare. It is useful to give the employee guidance on what to expect and how they might prepare. Sufficient time should be set aside for the meeting, usually between 1 and 2 hours.

The manager should:

- Consider how well the individual has performed since the last appraisal.
- Consider what has been achieved in the context of the job description.
- Consider to what extent any agreed objective/ goals/ work plans from the last appraisal have been implemented.
- Think about the feedback to be given at the meeting and the evidence that will be used to support it.
- Review the factors that have affected performance, both within and outside the individual's control.
- Consider the points for discussion on the possible actions that can be taken by both parties to develop or improve performance.
- Consider possible directions the individual's career might take.
- Consider objectives/ goals/ work plans for the next review period.

The individual should consider the following points:

- What they have achieved during the review period, with examples and evidence in the context of the job description.
- Any examples of objectives/ goals/ work plans not achieved with explanations.
- What they most enjoy about the job and how they might want to develop the role.
- Any aspect of the work in which improvement is required and how this might be achieved.
- Their learning and development needs with arguments to support their case for specific training.
- What level of support and guidance they require from their manager.
- Their aspirations for the future both in the current role and in possible future roles.
- Objectives/ goals/ work plans for the next review period.

The structure of the appraisal meeting

The appraiser should:

- Explain the purpose and scope of the meeting.
- Discuss the job in terms of its objectives and demands.
- Encourage the individual to discuss his or her strengths and weaknesses.
- Discuss how far agreed objectives/ goals/ work plans have been achieved.
- Agree future objectives/ goals/ work plans.
- Discuss any development needs appropriate to the existing job or the individual's future in the organisation, for example: training, education, work experience.

After the appraisal meeting

Shortly after the meeting the manager should summarise in writing the main points of the discussion and the action which was agreed, and give a copy to the individual. If the appraisal scheme is to have credibility, it is essential that the manager follows up any points arising from meetings and carries out any agreed actions.