

SUPERVISION & APPRAISAL POLICY

1.0 Policy Statement

1.1 MCH recognises the role that regular staff supervision and appraisal plays in the development of a skilled, accountable and supported workforce. MCH believes that effective supervision and appraisal are essential to ensuring staff are equipped to deliver the best possible, high quality services. To this end, the following policy ensures:

- ✚ That there is a robust process and structure for supervision and appraisal.
- ✚ That all staff are clear about their responsibilities regarding supervision and appraisal
- ✚ That all staff are provided with the day to day support they require, recognising the considerable demands of their posts.
- ✚ That development opportunities are identified for all staff to ensure that they have the skills required to undertake their work and to assist in their ongoing professional development.
- ✚ That staff are consulted and involved in decision making with regard to their individual work.

1.0 Introduction

- ✚ 1.1 'McSence Care at Home (MCH) is part of McSence Communication Ltd and this Policy and Procedure document relates to the care at home service operated by McSence Care at Home.
- ✚ 1.2 McSence Care at Home works to support older people. We believe people who need support, and those who love and care for them, should have the most fulfilling and meaningful lives they can possibly have.

2.0 Scope

2.1 This policy applies to all persons working for or on our behalf of the McSence Group of Companies in any capacity including but not limited to:

- ✚ All employees at all levels, prospective employees, agency workers, seconded workers, temporary workers, contractors/sub-contractors, clients, agents, external consultants, volunteers, members of the public, group's supply chain, third-party representatives and/or business partners who will be referred to in our Group policies as "all employees".

2.2 This policy applies to all persons working for or on our behalf of the McSence Group of Companies in any capacity at the workplace(s) as defined below which includes but not limited to:

- ✚ McSence Premises, Offices, Units, Business Park, Client's Premises, External Meeting Places, Customers' Homes, Gardens, Sheltered Housing, Whilst On-Call, On-Duty, Emergency Cover, Working from Home including On-Line Meetings, Whilst Driving in Company Time, Working Public Areas (café's, trains, coffee shops, buses etc) and will be referred to throughout this policy as "the workplace".

4.0 Roles and Responsibilities

4.1 Service Managers / Coordinators

The Service Managers / Coordinators are responsible for ensuring that this policy is accessible to staff and that staff are familiar with the process of both supervision and appraisal and understand their responsibilities within this process.

The Service Managers / Coordinators are responsible for ensuring that all staff are allocated a supervisor and for monitoring the provision of supervision and appraisal.

The Business Manager will provide supervision for Service Managers.

4.2 All staff

All staff are responsible for ensuring they are familiar with the functions and purpose of supervision and appraisal and of their responsibilities to actively contribute to the process.

Supervision Procedure

1.0 Introduction

1.1 This is the process by which a designated member of staff (the supervisor) enables another worker (the supervisee) to carry out their work role to the best of her/his ability.

2.0 Functions of supervision

Supervision fulfils four main functions as outlined below:

2.1 Management

Monitoring the overall quality of individual members of staff's work and ensuring that all work is carried out in accordance with organisational policy and procedures. For example:

- ✚ making sure that you understand exactly what the requirements of your job role are i.e. your **responsibilities**
- ✚ making sure you understand how you should be carrying out work tasks i.e. the **performance standard**
- ✚ supporting you to manage and prioritise your workload
- ✚ ensuring you work to **legal** and organisational requirements and **policies**
- ✚ giving you **feedback** on your work performance
- ✚ providing support to **reflect** on your own work performance

2.2 Learning and Development

Promoting the development of staff to ensure they are able work to their full potential. This includes:

- ✚ Helping you identify and set achievable development targets i.e. planning your learning
- ✚ Identifying how you learn best i.e. your preferred learning style
- ✚ Providing access to a range of learning opportunities
- ✚ Providing an opportunity to feedback and reflect on learning
- ✚ Support to reflect on practice and learn from experiences

2.3 Support

Monitoring the overall health and emotional wellbeing of staff with regard to the impact of the work undertaken. This includes:

- ✚ Providing a safe and supportive place to **explore your feelings** about work and its impact on you as a person
- ✚ Exploring the relationship between **health and wellbeing** and work performance
- ✚ Support with working with **difficult situations**
- ✚ Providing a safe place to explore **difficulties working with colleagues**
- ✚ Providing support and guidance on issues around **discrimination and values conflicts**

2.4 Mediation

This includes:

- ✚ Guiding you through organisational changes

- ✚ Providing opportunities for you to raise issues/voice opinions
- ✚ Involving you in decision making about your work
- ✚ Representing your interests, where appropriate, to higher management / the Board

3.0 Overview of the supervision process

3.1 All staff will meet with their allocated supervisor for supervision on a regular basis as detailed below.

3.2 MCH will ensure that all supervisors have the necessary knowledge and skills to supervise and will provide training as required.

4.0 Frequency

4.1 All staff will attend supervision meetings at least quarterly. On occasions supervision meetings may take place more frequently, for example during the induction process or where additional needs for support, development or monitoring of practice are identified.

4.2 Part-time staff should receive supervision at the same frequency wherever possible.

4.3 If the supervisor is absent from work for a period of time, this should not result in a significant drop in the supervisory support offered to their supervisees. The Service Manager / Coordinator should ensure that alternative arrangements for supervision are put in place.

4.4 It is the joint responsibility of both supervisor and supervisee to arrange supervision sessions at a mutually convenient time and to honour their commitment to this.

5.0 Setting

5.1 The setting should be such that the supervision session will be free from interruptions, and where confidentiality can be maintained, ideally in an office setting.

5.2 In many instances supervision meetings will be held in the appropriate offices of McSence. However, where staff are remote from these locations it may be possible to arrange a meeting space with another organisation.

6.0 Agenda and Content

6.1 The agreeing of the agenda and content of supervision sessions is a joint responsibility between the supervisor and supervisee. Both supervisors and supervisee are expected to contribute to an agenda for the session.

6.2 While it may not be realistic to cover all four functions in each supervision session, it is anticipated that all functions will be considered regularly.

6.3 Regular agenda items are detailed within the Record of Supervision (*see Appendix 1*) and include:

- ✚ Self evaluation
- ✚ Policies and procedures
- ✚ Learning and development
- ✚ Personnel file check

7.0 Recording

7.1 All sessions will be recorded by the supervisor using the Record of Supervision (*see Appendix 1*), who will provide the supervisee with a copy.

7.2 Both supervisee and supervisor are required to sign and date the Record of Supervision as a true and accurate record of the discussions that have taken place. Where there is any disagreement this must also be recorded and signed.

7.3 The supervisor will retain the original copy of the Record of Supervision in the personnel file for the member of staff, which will be stored securely in the office base.

7.4 The supervisee should be advised of their responsibility to store their copy of the notes securely.

7.5 Staff should understand that supervision notes are organisational property. They can be accessed for monitoring / auditing purposes and, on occasion, in relation to disciplinary matters.

Appraisal Procedure

1.0 Introduction

1.1 Appraisal is the process by which staff receive formal written feedback, at specified intervals, on their work performance, and formal written commitment to their ongoing development. The intention of the appraisal process is to review performance over the previous year, to plan objectives for the next year and to review and plan for learning and development needs.

1.2 Appraisal is a positive developmental process. It allows time for both supervisor and staff member to focus on performance, appraise strengths and weaknesses, develop and agree goals and produce a Personal Development Plan.

2.0 Objectives of appraisal

MCH's appraisal scheme aims to meet the following objectives:

- ✚ To promote and maintain high standards of performance.
- ✚ To contribute to staff morale and motivation.
- ✚ To support staff to develop within their role.
- ✚ To provide information and feedback that will contribute to the service planning process.
- ✚ To develop the relationship between the member of staff and their supervisor.

3.0 Overview of appraisal process

3.1 Every member of staff will meet with their allocated supervisor as part of the appraisal process.

3.2 MCH will ensure that all supervisors have the necessary knowledge and skills to conduct appraisals and will provide training as required.

3.3 MCH operates a 360 degree appraisal system whereby feedback is gathered on the individual's performance from a number of sources, including colleagues, clients / relatives and other professionals with whom the individual may have a working relationship. This aims to provide both supervisors and individuals with better information about skills and performance, as well as working relationships.

3.4 The involvement of clients / carers staff in a staff member's appraisal supports MCH's Participation Policy and aims to empower the clients / carers by demonstrating that their views are important and contribute to the development of the staff members that support them.

4.0 Frequency

4.1 Appraisals for every member of staff will take place on an annual basis (*see exceptions below*).

4.2 All staff who are new to the organisation or new to their current post will have a supervision after they have been in post for 3 months. Thereafter appraisals will take place annually.

4.3 The supervisor should arrange a date and time for the appraisal meeting that is mutually convenient, giving at least 2 weeks' notice in order to allow both parties adequate time for preparation.

5.0 Setting

5.1 The appraisal meeting should be held in an appropriate setting as per procedures for supervision above.

6.0 Preparation

6.1 Both the member of staff and their supervisor will take joint responsibility for preparing well for the appraisal meeting.

6.2 The supervisor should request that the member of staff complete an assessment of their performance (*see Appendix2 – Appraisal Form*)

6.3 The supervisor should prepare an assessment of the member of staff's performance over the year using the guidance within the Appraisal Form.

6.4 The supervisor should seek feedback from relevant others to contribute to the feedback given. This may include colleagues with whom the staff member works regularly, clients / carers, professionals who they have worked closely alongside. Feedback can be sought in a variety of ways, for example through a questionnaire, telephone or face to face interview / discussion.

6.5 Information gathered should be collated and documented within the Appraisal Form. The member of staff retains the right to see any information that has been gathered for the purposes of contributing to their appraisal.

7.0 Appraisal meeting

7.1 The appraisal meeting will involve a discussion of performance over the last year, comprising the staff member's self assessment, previous supervision meetings, feedback from the supervisor and relevant others.

7.2 The appraisal meeting should essentially be an opportunity to summarise the discussions from the supervisions about the individual's performance and development over the past year and progress achieved. In that case, there should be no 'surprises' for the individual during the appraisal meeting. An appraisal meeting is not an opportunity for a manager to raise an issue or problem for the first time.

7.3 There will be a review of the Personal Development Plan, focussing on the effect of agreed learning and development activities on performance and service delivery and the impact of the activity on skills, knowledge and values.

7.4 The supervisor and member of staff should agree performance objectives for the forthcoming year that meet both the development needs of the member of staff and the needs of the service. Performance objectives agreed must follow the **SMART** principle:

Specific | **M**easurable | **A**greed | **R**ealistic | **T**imed

7.5 The supervisor and member of staff should develop and agree a Personal Development Plan for the forthcoming year following the guidance notes within the Appraisal Form.

8.0 Recording

8.1 Following the appraisal meeting the supervisor will complete and finalise the Appraisal Form.

8.2 The completed Appraisal Form, signed by the supervisor should then be passed to the member of staff for signature and comment.

8.3 Staff who are dissatisfied with the outcome of their appraisal can record any disagreements on the final appraisal form and can follow the grievance procedure if they feel that their disagreements have not been dealt with fairly.

8.4 The Appraisal Form should then be passed to the appraiser's manager (where applicable) for review and comment.

8.5 The Appraisal Form should be stored securely in the staff member's personnel file. The member of staff should be given a copy and advised of their responsibility to store this securely.

Confidentiality (supervision and appraisal)

9.1 The discussions and recordings undertaken within supervision and appraisal are confidential and must not be discussed with any other party unless both parties agree that something can be shared, which may be in the best interests of other team members.

9.2 Unauthorised breaches of confidentiality will be the subject of disciplinary action.

9.3 It is however important to accept that confidentiality has its limits:

For example:

- ✚ Neither party can withhold information which might include disclosures of illegal activity or behaviour which contravene MCH's policies and procedures, in particular where there is suspicion of abuse or disclosure of abuse has taken place.
- ✚ Records of supervision and appraisal can be made available to line managers as part of MCH's monitoring and audit process. During this process, the frequency and content will be reviewed to ensure that supervision and appraisal are of taking place at the specified frequency and are of a high standard.
- ✚ Where a staff member is the subject of investigation, supervision and appraisal records will be made available at the request of the investigating officer. Records can also be made available when a formal grievance is being investigated.

Company Intranet – Staff Zone: All the McSence Groups policies, procedures, handbooks are available on-line to all employees on the McSence Group's Staff Zone Intranet <https://mcsencestaffzone.wordpress.com/>

Compliance: Failure to comply with the provisions of this Policy may result in Disciplinary proceedings where as an employee of McSence Group, I understand that if I choose not to participate in or follow this policy's guidelines, my refusal may be grounds for termination.



McSence Group Signatory:

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Policy Amendments & Revisions: This policy will be reviewed annually and, if necessary, revised in the light of legislative or organisational changes. Improvements will be made by learning from experience and the use of an established annual review. Should any amendments, revisions, or updates be made to this policy it is the responsibility of the Company Senior Management Team (SMT) to see that all relevant employees receive notice and training if necessary.

Appendix 1

Record of Supervision

| | | | |
|---------------------|--|---------------|--|
| Name of Staff: | | | |
| Position: | | | |
| Name of Supervisor: | | | |
| Date: | | | |
| Time Commenced: | | Time finished | |

Previous Supervision Action plan

| | | |
|---|-----------------------------|--------------------------------|
| List Action points / Outcomes met from previous Supervision | Action Point Number's met – | |
| If any actions / Outcomes have not been met please explain why? And agree further actions and timescales. | | |
| Explain, why action has not been met? | Further action required | Timescale / Who is responsible |
| | | |
| | | |
| | | |
| | | |
| Any additional comments? | | |

Agenda for Supervision

| |
|--|
| Set Agenda Items |
| <ul style="list-style-type: none"> • Self Evaluation • Policies and procedures • Learning and development • Personnel file Checklist |
| Is there anything specifically that you want to cover or spend time discussing today? |
| <ul style="list-style-type: none"> • • • • • |
| Supervisor Agenda for Supervision? |
| <ul style="list-style-type: none"> • • • • • |

Self Evaluation: (Supervisee or supervisor can complete this section)

On a scale of 1-6 how satisfied are you with the following: Please Circle

| | ←-----Not Satisfied At All -----> | | | | | | → Completely Satisfied |
|----------------------------|-----------------------------------|---|---|---|---|---|------------------------|
| Service | 1 | 2 | 3 | 4 | 5 | 6 | N/A |
| Rota | 1 | 2 | 3 | 4 | 5 | 6 | N/A |
| Colleagues | 1 | 2 | 3 | 4 | 5 | 6 | N/A |
| Management/Leadership | 1 | 2 | 3 | 4 | 5 | 6 | N/A |
| My Work Performance | 1 | 2 | 3 | 4 | 5 | 6 | N/A |
| Internal Training Attended | 1 | 2 | 3 | 4 | 5 | 6 | N/A |
| External Training Attended | 1 | 2 | 3 | 4 | 5 | 6 | N/A |

Discuss reason for ratings:-

Any issues contributing to ratings? Any concerns? Or positive feedback? Suggestions?

| | |
|-----------------------|--|
| Service | |
| Rota | |
| Colleagues | |
| Management/Leadership | |
| My work Performance | |
| Internal Training | Feedback recorded in Learning and development section in supervision notes |
| External training | Feedback recorded in Learning and development section in supervision notes |

Policies and Procedures

Supervisor to identify at least one Policy and / or Procedure per supervision for staff to read and reflect their understanding.

| Policy and/or Procedure Identified from previous Supervision | Read | Discussed/ Understood | Evidence staff understanding of Policy / Procedure | Further action record in Action plan |
|--|---|---|--|---|
| | Yes <input type="checkbox"/> No <input type="checkbox"/> | Yes <input type="checkbox"/> No <input type="checkbox"/> | | Yes <input type="checkbox"/> No <input type="checkbox"/> |
| | Yes <input type="checkbox"/> No <input type="checkbox"/> | Yes <input type="checkbox"/> No <input type="checkbox"/> | | Yes <input type="checkbox"/> No <input type="checkbox"/> |
| | Yes <input type="checkbox"/> No <input type="checkbox"/> | Yes <input type="checkbox"/> No <input type="checkbox"/> | | Yes <input type="checkbox"/> No <input type="checkbox"/> |

| Identified Policy and/or Procedure to read for next supervision |
|---|
| 1. |
| 2. |
| 3. |

Learning and Development

| PDP Progress Discussed | PDP Reviewed and recorded outcomes | If No, please state reason why this was not completed? |
|---|---|--|
| Yes <input type="checkbox"/> No <input type="checkbox"/> | Yes <input type="checkbox"/> No <input type="checkbox"/> | |

| Record name of Course attended | Internal/ External | Feedback on what learned and how will apply in practice | Further action record in Action plan |
|--------------------------------|--|---|---|
| | I <input type="checkbox"/> E <input type="checkbox"/> | | Yes <input type="checkbox"/> No <input type="checkbox"/> |
| | I <input type="checkbox"/> E <input type="checkbox"/> | | Yes <input type="checkbox"/> No <input type="checkbox"/> |

| New learning needs identified – please update PDP as required |
|---|
| |

Staff Agenda Items

| <u>Agenda Items discussion</u> | Support / Guidance Required |
|---------------------------------------|------------------------------------|
| | |

Supervisor Agenda Items

| <u>Agenda Items discussion</u> | Support / Guidance Required |
|---------------------------------------|------------------------------------|
| | |

If you require further space please record additional information on blank paper and attach to original document.

Staff Personnel File Checklist

| Areas to be checked for accuracy of information | Checked | Any further actions / amendments or comments |
|--|---|---|
| Personal Information checked | Yes <input type="checkbox"/> No <input type="checkbox"/> | |
| Appraisal Due | Yes <input type="checkbox"/> No <input type="checkbox"/> | |
| Annual Leave Planned | Yes <input type="checkbox"/> No <input type="checkbox"/> | |
| Absence Management (Any outstanding information or record triggers met) | Yes <input type="checkbox"/> No <input type="checkbox"/> | |
| Driving Licence checked | Yes <input type="checkbox"/> No <input type="checkbox"/> | |
| Driving Insurance checked | Yes <input type="checkbox"/> No <input type="checkbox"/> | |
| MOT checked | Yes <input type="checkbox"/> No <input type="checkbox"/> | |

Action Plan

| No. | Actions Agreed | By whom | Timescale |
|------------|-----------------------|----------------|------------------|
| 1. | | | |
| 2. | | | |
| 3. | | | |
| 4. | | | |
| 5. | | | |

| | | | |
|----------------------------------|--|----------------------------------|--|
| Date of Next Supervision: | | Time of Next Supervision: | |
| Signature of Staff: | | Signature of Supervisor: | |

Appendix 2

Appraisal Form

Guidance Note: This form should be completed by the appraiser and countersigned by the employee and the appraiser's manager. The appraiser and employee should keep a copy.

| | |
|---|--|
| Name of Employee: | |
| Name of Manager: | |
| Date of Appraisal: | |
| Date employed in post: | |
| Period covered by appraisal: (from: to:) | |

Complete the form as soon as possible after the appraisal meeting and sign below:

| | | | Comments |
|--|-----------|--|----------|
| Employee | signature | | |
| | date | | |
| Appraiser | signature | | |
| | date | | |
| Appraiser's Manager (if applicable) | signature | | |
| | date | | |

Part 1 – Looking back

1 A. Review of performance over previous 12 months

Guidance Note: A review of performance should focus on what went well and what could have been improved. There should be no surprises for the employee as there should be regular discussions at supervision meetings.

| Review of performance against objectives <i>(refer to last year's appraisal form)</i> | Evidence for assessment of performance |
|---|---|
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1 B. Overall assessment of performance:

After discussion, use this section to sum up the employee's performance at work over the past 12 months, including anything that was not included in the original objectives, or aspects which fall outside the formal objective setting process.

Manager's assessment

What are employee's key achievements?

How has performance been generally against expectations?

In what areas, if any could performance have been improved?

Employee's assessment

What have been your key achievements?

What do you feel you have done well?

In what areas do you feel your performance could have been improved?

Assessment by others:

This may include feedback from key stakeholders, for example client(s) the member of staff provides support to, relatives, key professionals the member of staff has regular contact with

Part 2

Review of Personal Development Plan over previous 12 months

Guidance Note: Refer to last year's personal development plan for details

| Learning and development activity | Evidence of effect on individual performance and service delivery | Skills / knowledge gained / values demonstrated |
|-----------------------------------|---|---|
| | | |
| | | |
| | | |
| | | |
| | | |
| | | |

Overall assessment of learning and development

| | |
|-----------------------------|--|
| Employee's Comments: | |
| Manager's Comments | |

Part 3

Performance Objectives for the next 12 months

Guidance Note: Performance objectives may be new targets (e.g. a new project,) improving how the employee does his/her existing job, or a combination of these.

| Performance Objective <i>(if appropriate include need for support)</i> | Timescale | What will be evidence of success? |
|--|------------------|--|
| | | |
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| | | |

4. Personal Development Plan for the next 12 months

Guidance *Learning & Development is much more than attending training courses. Consideration should be given to learning through a variety of means for example: from others through discussion or shadowing, reading, e-learning*

Note: *Learning and Development will be “top down” and “bottom up”. Top down learning will be allocated to you by your manager flowing from the Service Plan, needs of clients and the service. Bottom up learning will come from your own ideas about what you need to learn to improve your performance and develop within your role*

| Learning and development area | Identified learning activity to develop skills, knowledge, values | Timescale | What impact will this have at individual and service level? |
|-------------------------------|---|-----------|---|
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| | | | |