

Merton Mencap

**Supervision & Appraisal
Policy**

August 2017



Merton Mencap
SUPERVISION & APPRAISAL
POLICY & PROCEDURE

This policy and procedure has been adopted by Merton Mencap through its Executive Committee which remains responsible for its review.

Original signed version is kept at the Merton Mencap office.

Signed: _____ Date: _____

Name: _____

Chair of Executive Committee

Signed: _____ Date: _____

Name: _____

Chief Executive

Record of adoption and review of this policy and procedure:-

Adopted: 16 September 2009
Reviewed: 2 June 2011
Reviewed: 14 August 2017

Introduction

Staff and staff member includes Merton Mencap employees, bank workers and volunteers (including Trustees).

Supervision is a regular meeting involving staff and their line manager or point of contact (referred to hereafter as the *line manager*) to discuss ongoing personal and organisational performance and objectives. Supervision does not replace the need for regular communication between the line manager and their staff.

An appraisal is a periodic review by the line manager of staff's overall performance against pre-agreed targets and objectives. New goals and objectives may be set at this time. It is also an opportunity to discuss training needs and role within the charity.

It is the line manager's responsibility to advise staff of the date of supervision and appraisal meetings and to give adequate notice of them.

1. Supervision

- 1) All Merton Mencap staff will have regular supervision with their line manager.
- 2) The frequency of these meetings will depend on the role of each member of staff and the number of hours they work but, in general, supervision should occur as follows:-
 - For staff who work regularly, including in the office or on projects running during term time or all year round, supervision will take place each quarter
 - For staff who only work seasonally, such as during the holidays, supervision should take place as the relevant projects manager feels appropriate, but no less than after each seasonal period (e.g. during a summer programme)
- 3) The line manager should establish ground rules for supervision meetings. Guidance for these ground rules can be seen in Appendix 1.
- 4) Line managers are responsible for keeping a record of supervision meetings, which matters have been discussed and any agreed actions, by completing the relevant form. The line manager should provide a copy of this record to the staff member. The line manager is responsible for monitoring the progress of the agreed actions at subsequent supervision meetings.
- 5) Supervision records are the property of the charity, not the individual. The line manager may need to discuss the content of supervision sessions with others (e.g. their own line manager) but this should be done with the knowledge of the member of staff.
- 6) The line manager will store the records of supervision meetings securely in line with Merton Mencap's *Data Protection, Confidentiality and Security of Information Policy and Procedure*, usually in the staff member's HR file.

7) Occasionally, other people may require access to supervision records, such as:

- Managers providing cover in the absence of the line manager
- The Chief Executive or Chair of Trustees, for quality assurance purposes
- Investigating officers, for disciplinary purposes
- Inspectors

2. Appraisal

1) Staff who work regularly, including in the office or on projects running during term time or all year round, will have an annual appraisal.

The annual appraisal or review may include:

- a review of past and present performance
- an assessment of staff training needs
- a clarification of the charity's objectives
- an opportunity for the staff or volunteer to raise questions and concerns
- an opportunity for the line manager to set objectives (key performance indicators) for the next period

2) Appraisals should be recorded using the appropriate appraisal form

3) It is the line manager's responsibility to ensure an accurate record is made of the appraisal by using relevant form. The staff member has an opportunity to add their final comments on the form, in the relevant section, before the line manager and the staff member sign the document.

4) It is the line manager's responsibility to monitor the progress of any actions agreed at the appraisal, by checking these at subsequent supervision and appraisal meetings with that member of staff.

5) The line manager will store the records of appraisal meetings in line with Merton Mencap's *Data Protection, Confidentiality and Security of Information Policy and Procedure*, usually in the staff member's HR file.

6) Other people may require access to the appraisal document. These may include:

- Managers providing cover in the absence of the line manager
- The Chief Executive or Chair of Trustees, for quality assurance purposes
- Investigating officers, for disciplinary purposes
- Inspectors

7) Merton Mencap is committed to supporting staff. The principles of staff support are detailed in Appendix 2.

Appendix 1: Ground rules for supervision

The ground rules for any supervisory relationships may vary depending on the nature of the work and preferred style of the line manager. Therefore, some or all of the following should be established and noted on the first supervision form:

- A confirmation of the frequency, duration and location of meetings
- A confirmation of the purpose of supervision – e.g. performance management, support, exploring training needs, review of workload, file/case reviews
- A confirmation of how supervision meetings will be recorded and actions monitored
- Limits of authority of line manager – e.g. when they need to refer decisions to the Chief Executive

Line managers make clear to the person they supervise that supervision meetings have the following purpose:-

- To ensure staff know what is expected of them
 - To ensure staff are aware of and implement Merton Mencap's Standards, Policies and Procedures and Code of Conduct(s), with particular regard to health and safety and safeguarding
 - To ensure staff carry out their duties effectively and efficiently
 - To ensure good practice and to challenge and manage poor practice
 - To identify training requirements and assist in the continuous professional development of staff
 - To ensure staff are supported and that they know who to go to in the event of a problem
 - To monitor the agreed actions from the appraisal meetings
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Appendix 2: Merton Mencap - principles of staff support

Merton Mencap recognises that staff will perform better, be more motivated and provide the highest possible standard of services with the support of their line management.

Principles of staff support:

- Communicating the charity's values, needs and expectations to staff
- Being open to suggestions from staff about how Merton Mencap might develop and improve
- Valuing and praising good work and encouraging creative innovation
- Assisting staff with their personal development
- Working with staff to manage change
- In instances where work is not up to the required standards, tackling this promptly and constructively
- Recognising staff may have needs and responsibilities outside of work and assessing how these impact on performance

These principles can be achieved if line managers:-

- set a good example to staff
- set clear and achievable targets and standards
- monitor work fairly and regularly
- give regular, constructive feedback on performance, recognising good work and raising any concerns
- provide staff with regular opportunities to discuss their work, through supervision
- give staff regular opportunities to communicate with their line manager about any concern or suggestions

Internal Audit Guidance

Check	Evidence
Are supervision sessions being provided regularly to all staff?	Ask senior managers for supervision records, check dates?
Are records being made of supervision sessions (which are provided to staff)?	Check supervision records Ask staff
Are annual appraisals being provided regularly to all staff?	Ask senior managers for appraisal records, check dates?
Are records being made of appraisal sessions (which are provided to staff)?	Check appraisal records Ask staff
Are records being completed legibly, clearer and in line with appendices of this document?	Check records
Do staff feel supported, good communication exist	Ask staff