

Performance Management Policy

This document is relevant to:	
Staff	✓

Purpose

Dorset Mind aims to support staff to enable them to deliver the best possible service.

Dorset Mind recognises that:

- if staff know what is expected of them
- have the right skills, knowledge and ability to be able to do their work
- if they feel supported
- are given constructive feedback
- are able to share and discuss ideas about making Dorset Mind successful

then effectiveness across Dorset Mind will be improved, along with staff motivation.

Staff support will be achieved through a number of practical performance management steps.

By:

- communicating to all staff Dorset Mind's values, needs and expectations
- providing clear and unambiguous job descriptions and policies and procedures
- setting objectives and targets
- providing day-to-day contact on work issues
- supervision meetings
- appraisal interviews.

All staff will be line managed by a more senior person within Dorset Mind. The Chief Executive will be line managed by the Chair of Trustees. All line managers will be trained in performance management to help ensure that the performance management policy operates fairly and consistently across the whole organisation.

Please note that during the probationary period, the probationary period policy will apply, covering supervision and probationary period reviews.

Policy

Objectives

Line managers will set and agree clear objectives for staff, related to the overall objectives for Dorset Mind, to the individual's work and their learning and development needs.

Objectives should be SMART (**S**pecific, **M**easurable, **A**chievable, **R**elevant, **T**imebound) ie:

- Specific – objectives should state a desired outcome. What does the employee need to achieve?
- Measurable – how will you and the employee know when an objective has been achieved?
- Achievable – is the objective something the employee is capable of achieving but also challenging?
- Relevant – do objectives relate to those of the team/department/business?
- Timebound – when does the objective need to be achieved?

The objectives will be regularly reviewed and updated as appropriate at supervision meetings

Records

Supervision and appraisal records are private but not confidential. They are the property of Dorset Mind, not the staff member. Supervisors will need to discuss the content of supervision and appraisal sessions with others on occasion, eg their own line managers. This should be with the knowledge of the employee.

Other people may sometimes require access to supervision and appraisal records.

These might include:

- managers providing cover in the absence of line manager
- senior managers (for audit and quality assurance purposes)
- investigating officers (eg for capability or disciplinary purposes).

Supervision

The aims of supervision are:

- to ensure staff know what is expected of them
- to ensure staff contribute to the outcomes of the organisation by carrying out their duties effectively and efficiently
- to review objectives set at appraisal
- to ensure and celebrate good practice and to challenge and manage poor practice
- to ensure that 'health and well-being at work' issues are addressed
- to assist in the continuous professional development (CPD) of staff.

Supervision is a regular one-to-one meeting between the supervisor (eg line manager) and supervisee in order to meet organisational, professional and personal objectives. Supervision forms a key part of individual performance management. It is the foundation on which appraisal is built.

Even when staff and supervisors work closely together, it does not eliminate the need for private one-to-one time together on a regular basis. The focus of these sessions is wholly on the individual, their performance, their development, and any issues from their work that do not arise on a day to day basis.

Supervision meetings between line managers and individual staff members, will take place every 8 weeks. On occasion, if an issue or concern has been identified by either the line manager or staff member, they may take place more frequently.

During the probationary period, regular supervision meetings will normally take place on a monthly basis (and more frequently if necessary), and there will normally be a three-month and six-month probationary review. Details of the nature of the probationary supervision meetings and probationary reviews can be found in the Probationary Period Policy.

Supervision meetings should normally last no longer than an hour. They should be private, uninterrupted meetings. Dates set for supervision meetings should not be postponed or cancelled if at all possible.

Staff members and line managers are encouraged to communicate regularly in a day-to-day context in addition to supervision meetings, particularly if there is a concern or issue or to provide constructive feedback or to discuss the work of Dorset Mind.

Each meeting will have the agenda of standing items shown in appendix (i). Both the line manager and staff member are invited to add additional items to this agenda at the start of the meeting.

Discussion of items will vary from a quick check between line manager and staff member, to in-depth discussion. The bullet points are an indication of what could/should be discussed under each agenda heading.

The recording of supervision sessions is the responsibility of the supervisor. The record should be detailed enough so that it is auditable at a later date. It should include an outline of decisions or action points with reasons. The record should be signed and dated by the supervisor and the staff member. Any disagreements about content should be recorded. Records should be typed rather than handwritten if possible. If this is done by anyone other than the supervisor (eg administration staff) this must be agreed with the staff member. A copy will be given to the staff member and a copy will be held in their personnel records.

Appraisal

Appraisal interviews take place on an annual basis and are a review of the staff member's work progress, achievements and performance over the past year, as well as to set agreed objectives and training/development needs for the next 12 months.

Appraisal interviews should normally last around two hours. They should be private, uninterrupted meetings. Dates set for appraisal interviews should not be postponed or cancelled if at all possible.

Staff members should complete a self-appraisal form, appendix (ii), before the meeting and pass a copy to the line manager at least five days before the meeting date so that the points they contain can be considered.

Similarly line managers should complete a pre-appraisal form, appendix (iii), before the meeting and pass a copy to the staff member at least five days before the meeting date so that the points they contain can be considered.

This exchange of forms should take place on the same day where possible.

Line managers should also prepare by looking over supervision records, notes from the last appraisal, training records and the job description, as well as considering what he/she would like the staff member to achieve in the next year.

The staff member should also prepare by looking over supervision records, notes from the last appraisal and the job description.

Each appraisal meeting will have the agenda of standing items shown in appendix (iv). Both the line manager and staff member are invited to add additional items to this agenda at the start of the meeting. The bullet points are an indication of what could/should be discussed under each agenda heading.

Managers should put employees at ease by beginning their interviews with fairly general remarks. It is preferable to discuss employee's strong points first and to place emphasis on good work already done. Questions should be framed which draw out the employee's reactions and ideas. Leading questions or questions which only require a 'yes' or 'no' response should be avoided.

If it is necessary to improve performance it will be counter-productive for the manager to gloss over employee's weak points and stress their good features just to avoid confrontation.

The recording of appraisals is the responsibility of the line manager undertaking the appraisal. The appraisal should be recorded on the appraisal form in appendix (v). The record should be detailed enough so that it is auditable at a later date. The record should be signed and dated by the line manager undertaking the appraisal and the staff member. Any disagreements about content should be recorded. Records should be typed rather than handwritten if possible. If this is done by anyone other than the line manager undertaking the appraisal (eg administration staff) this must be agreed with the staff member. A copy will be given to the staff member and a copy will be held in their personnel records.

Both manager and employee can review how the objectives are followed up at the regular supervision meeting, including following up learning needs.

Appendix (i)

Supervision Agenda

1	Manager and employee agree the agenda
2	Review of work done <ul style="list-style-type: none">• Progress against objectives• What went well and why?• What could have been better and why?• What could be done to make it better in the future?
3	Checking with the staff member <ul style="list-style-type: none">• Any concerns, difficulties, workload issues?• Any support needed?• What type of support (training, coaching etc.)?
4	Positive and constructive feedback to staff member <ul style="list-style-type: none">• Achievements• Any areas of concern about performance or conduct, and in relation to the rest of the team
5	Other issues <ul style="list-style-type: none">• Any issues outside work having an impact on work?• Sickness absence• Annual leave
6	Future plans <ul style="list-style-type: none">• Short-term plans until next meeting• How do they relate to long-term objectives?• How will they be achieved?• Review learning and development plan
7	Date of next meeting

Appendix (ii)

SELF-APPRAISAL QUESTIONNAIRE – STAFF MEMBER’S

Please complete this and provide a copy for your line manager, at least 5 days before the appraisal meeting.

What were your main duties and responsibilities over the last year?
What skills and abilities do you use in your work?
Are there aspects of your work where you feel you need more experience or support?
What do you enjoy most about your work?
What have been your successes in the last year?

What do you enjoy least about your work?
What problems have you had in the last year?
What would help improve your performance at work and your job satisfaction?
What do you hope to achieve over the next year?
What training do you think you need over the next year?
Are there any other comments you want to make about your work?

Appendix (iii)

PRE-APPRAISAL QUESTIONNAIRE – LINE MANAGER’S

Please complete this and provide a copy for the staff member, at least 5 days before the appraisal meeting.

What were main duties and responsibilities of the staff member over the last year?
What skills and abilities do they use in their work?
Are there aspects of the work where you feel they need more experience or support?
What have been their successes in the last year?
What problems have they had in the last year?

What training did they receive in the last year?
What would help improve their performance at work?
What do you hope they would achieve over the next year?
What training do you think might support them over the next year?
Are there any other comments you want to make about the staff member's work

Appendix (iv)

Appraisal Agenda

1	Manager and employee agree the agenda and manager explains course and purpose of meeting
2	Successes <ul style="list-style-type: none">• Highlight item of work success• Discussion of other areas of the job that the staff member enjoys• Review of any compliments
3	Review of objectives set at last appraisal <ul style="list-style-type: none">• Were there any obstacles to achievement?
4	Review of performance against job description <ul style="list-style-type: none">• Were there any obstacles to achievement?• Would further support/management be helpful?
5	Review Line Management process <ul style="list-style-type: none">• Are there any changes in the way the manager and employee can work better together?
6	Review of the staff member's learning and development <ul style="list-style-type: none">• What training/development has taken place this year?• What training development is required?
7	Concerns <ul style="list-style-type: none">• Review of any concerns• Review of any complaints
8	Job Description <ul style="list-style-type: none">• Are there any changes to duties or responsibilities since the last appraisal?• Does the job description need to be updated?
9	Agree four objectives for the next year <ul style="list-style-type: none">• Are there any obstacles to achievement?• How might these be overcome?
10	Discussion of any other issues that the staff member wants to raise
11	Line Manager summarises their view of overall performance and the points covered.

Appendix (v)
APPRAISAL FORM

Employee name:

Job title:

Line manager undertaking appraisal:

Date of appraisal:

Review of objectives set at last appraisal	
Objective	Comments on achievements and any challenges/problems. Indicate which of the following applies: standards exceeded expectations, standards reached, standards partly reached or standards not reached.

Review of performance against job description	
Job description key element	Comments on achievements and any challenges/problems

Agreement on any support/management to be put in place, including addressing any specific requirements the staff member may have to help achieve good practice.

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Agreed changes in the way the manager and employee will work together.

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**Record of learning and development activities
(courses, conferences, on-the-job training, shadowing, etc)**

Specific activities	How has this helped the individual carry out their tasks

Further training/development required

Specific activities	How this would help the individual carry out their tasks

Any compliments or complaints raised by trustees, colleagues, service users or volunteers which need to be considered with the future work plan

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Recommended changes to the employee's job description (if any)

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Objectives for the forthcoming year		
Objective	To be achieved by (date)	Resource implications
<i>(This objective should directly relate to Dorset Mind's organisational objectives)</i>		
<i>(This objective should directly relate to Dorset Mind's organisational objectives)</i>		
<i>(This objective should directly relate to Dorset Mind's organisational objectives OR personal development as appropriate)</i>		
<i>(This objective should directly relate to personal development)</i>		

Other issues or comments

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Manager's comments (this should include a summary of achievements over the year)

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Employee's overall comments

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	Signature	Date
Employee		
Line manager		

Responsibilities

The Chief Executive is responsible for managing this policy and overseeing its implementation. Line Managers are responsible for implementing the policy within their areas of work, and for overseeing adherence by staff. Every member of staff should take personal responsibility for conforming to it.

Associated Policies and Procedures

- Probationary Period Policy
- Recruitment and Selection Policy
- Training and Development Policy
- Quality Procedure
- Data Protection Policy
- Equality and Diversity Policy

Measurable Indicators for Implementation

- Staff report they feel well managed and supported
- Dorset Mind is able to achieve it's set organisational objectives

The equality impact of this policy has been considered and Dorset Mind believes that it complies with its commitment to equality as stated in its Equality Policy

Policy Ownership

Policy Name	Version	Doc ref
Performance Management Policy	1.0	Performance Management Policy
Policy Owner	Chair of Trustees	

Approval Status

Date adopted by Trustees	December 2015		
Date published	December 2015	Date for next review	December 2017

Consult the Dorset Mind website for the latest version of this policy.

Document Control

Reviewers

Name	Position
Chris Price	Chair of Trustees
Jackie Lillywhite	Service Delivery Manager
Anna Windett	Chair of Trustee Quality Sub-Group
Rob Griffiths	Service Leader
Mandy Nicholson	Service Leader

Change History

Issue	Date	Author	Reason
1.0	Dec 15	Chris Price	New policy