



For better
mental health

Dudley Mind Performance Appraisal Policy & Procedure

1) Policy

1.1 For Dudley Mind to ensure the continual improvement of its services and for organizational objectives to be met, staff should be performing at a consistently high standard. This policy outlines the role and process of performance appraisal, as a tool to manage performance.

1.2 This policy aims to:-

- ensure that the organisation has an explicit system for setting objectives and standards with all its staff, and for monitoring and evaluating their performance.
- ensure that all staff are properly guided, supported, trained and developed in order that they are able to perform their jobs, contribute to the objectives of and display the standards required in their team and Dudley Mind and fulfil their potential.
- enable and encourage all staff to take personal responsibility for their performance and their development.

1.3 Performance appraisal is an important part of performance management. In itself it is not performance management, but it is one of the range of tools that can be used to manage performance.

1.4 The performance appraisal or review is essentially an opportunity for the individual and those concerned with their performance – most usually their line manager - to get together to engage in a dialogue about the individual's performance, development and the support required from the manager. It should not be a top down process or an opportunity for one person to ask questions and the other to reply. It should be a free flowing conversation in which a range of views are exchanged.

1.5 Performance appraisals usually review past behaviour and so provide an opportunity to reflect on past performance. But to be successful they should also be used as a basis for making development and improvement plans and reaching agreement about what should be done in the future.

1.6 A key principle is that no-one should be surprised by an appraisal because it should not normally refer to items not previously addressed in supervisions.

1.7 All staff should have current job descriptions reflecting the needs of the service and their current role. Job descriptions should outline key responsibilities and personal specifications specifying the behaviour, skills and knowledge required.

1.8 All staff should have regular supervisions with their line manager (please refer to Dudley Mind Support and Supervision Policy and Procedure) where performance should be discussed.

2) Scope

The principles of annually reviewing and updating the focus and scope of jobs, agreeing performance objectives and standards and identification of development needs, apply to all Dudley Mind employees.

3) Procedure

3.1 Preparing for the meeting

3.1.1 Both parties should prepare for the meeting beforehand if a successful outcome is to be delivered.

3.1.2 Employees should have at least 14 days notice of the proposed date to allow time to prepare. Both parties should have a copy of the job description and any relevant previous appraisals to assist preparation. Appraisees may use up to 2 hours work time to prepare for the meeting. Any additional preparation time required should be done in the individual's own time.

3.1.3 The line manager/appraiser conducting the meeting should:

- Consider how well the individual has performed since the last meeting, taking into account supervision notes.
- Consider to what extent any agreed development plans from the last meeting have been implemented.
- Think about the feedback to be given at the meeting and the evidence that will be used to support it (supervision notes, compliment letters, file notes).
- Review the factors that have affected performance both those 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 possible objectives for the next review period.

3.1.4 The individual or appraisee should consider the following points:

- What they have achieved during the review period, with examples and evidence.
- Any examples of objectives 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
- 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 for the forthcoming year.

3.2 Appraisal Meeting

3.2.1 The Appraisal will take place every 12 months from the date of the previous appraisal and will usually be carried out by a member of the management team (for the Chief Executive it will be carried out by a Trustee).

3.2.2 Appraisals should only be undertaken by authorised appraisers who are appropriately trained.

3.2.3 The appraisal process should be a face to face meeting in comfortable and uninterrupted surroundings.

3.2.4 Performance in the previous year should be reviewed and objectives/standards and personal development plans should also be agreed for the forthcoming year.

3.2.5 The appraisal format (Appendix 1) is intended to support and guide both the appraiser and appraisee through the process.

3.2.6 Once objectives and standards are agreed, managers are responsible for ensuring that performance is monitored and evaluated through supervision on an ongoing basis, and that staff are appropriately trained and developed.

3.2.7 The detail and outcome of discussions should always be recorded. The Appraisal may well inform future supervision sessions, for example, to measure and build upon progress on agreed items.

3.2.8 In the event of performance not being acceptable, remedial action should be taken immediately, in accordance with the Dudley Mind Disciplinary Policy.

3.2.9 The appraisal meeting record forms an action plan for the coming year and should be signed by the employee and the appraiser. If agreement cannot be reached on objectives or standards, employees have recourse to the Dudley Mind Grievance procedure.

3.3 What a good appraisal looks like

3.3.1 A good and constructive appraisal meeting is one in which:

- appraisees do most of the talking
- appraisers listen actively to what they say
- there is scope for reflection and analysis
- performance is analysed not personality
- the whole period is reviewed and not just recent or isolated events
- achievement is recognised and reinforced
- ends positively with agreed action plans.

3.3.2 A bad appraisal meeting:

- focuses on a catalogue of failures and omissions
- is controlled by the appraiser
- ends with disagreement between appraiser and appraisee.

3.4 Objective Observation

One or both parties may request the presence of an objective observer (to be identified by the HR Officer or CEO) at appraisals in the exceptional circumstance of misconduct or other situation where either party feels uncomfortable, until the issue is resolved. The observer will not participate and will act only as observer.

4) Confidentiality

4.1 The content of appraisal discussions will be kept confidential between the appraisee and their line manager. However appraisal meetings will be recorded and monitored by the HR Officer as part of monitoring team and organisational performance.

4.2 Where a performance appraisal highlights unsatisfactory performance or disciplinary/conduct issues, the appraisal notes may be used during subsequent disciplinary meetings.

5) Training

5.1 All appraisers expected to carry out performance appraisals will receive training.

5.2 All staff should be made aware of the training and development opportunities open to them.

5.3 It is intended that the annual appraisal will feed into the overall training plan for the organisation, and identified training needs from each appraisal will be shown in the plan. Please refer to Dudley Mind Training Policy and Procedure.

6) Giving feedback

Feedback should be based on facts not subjective opinion and should always be backed up with evidence and examples. The aim of feedback should be to convey to the individual the impact of their actions and behavior. It may require corrective action where the feedback indicates that something has gone wrong. However, wherever possible feedback should be used positively to reinforce the good and identify opportunities for further positive action.

7) Changes

Dudley Mind reserves the right to change the provision of the Dudley Mind Appraisal Policy & Procedure by amendment, addition or deletion or substitution of new procedures from time to time at its discretion. Employees will be consulted and notified of any changes by appropriate means.

July 2008

Current Performance

Agreed and Recognised areas of Strength

- 1)
- 2)
- 3)

How could these strengths be used further within Dudley Mind?

Identified Areas for Improvement (must be a minimum of 3)

Area	Objective	Timescale for change

Does the current job description adequately reflect the work done by the employee?

- Yes
- No

July 2008

If no please say why and suggest possible amendments (to be discussed with HR Officer before agreeing):

Agreed Objectives for next year:

Agreed Training and Development Needs:

- 1)
- 2)
- 3)

Personal Development Plan

Key Objectives for the coming year (there should be at least 3 objectives):

Objective	How will this improve performance?	How will this be achieved?	Time to achieve

Other Issues

Performance during previous year:

Use the definitions below to rate the performance of the staff member for the previous year. Please note there may be an overlap between 2 ratings – in this case, the rating will be that which relates to the majority of the behaviour most of the time.

Outstanding: consistently performs above standard performance for job role. Made exceptional effort to meet all targets set at last appraisal and all targets were achieved. Looks for and acts on ways to improve both individual and organisational performance. Takes on new responsibilities. Always thoroughly reliable. Works extremely well with others and responds well to new challenges. Exceptionally punctual and rarely absent. Exceptionally effective in all written and verbal communication. Exceptionally thorough knowledge of own and related work. Highly motivated towards safety – always insists on safe working practices. Displays excellent planning/time management ability. Attends all training sessions when required and actively seeks to develop themselves within their role.

This is an exceptional level of performance, which is not expected to be sustainable year after year. It is anticipated that only a very small proportion of employees will meet the rigorous performance standards of this category.

Good: usually operates at a level above acceptable. Achieved all targets set at last appraisal. Works with minimal supervision. Co-operative and flexible. Attendance standards are acceptable and is rarely late. Usually a good communicator. Good knowledge of job related work. A good attitude towards health and safety and encourages others to act the same. Organises work and time well. Attends training sessions when required with a positive attitude.

July 2008

Only a relatively small number of employees will meet these demanding standards,

Acceptable: performing job role to an acceptable standard. Achieved all targets set at last appraisal. Does not take on new responsibilities. Usually gets along reasonably well with other staff members. Absence and/or lateness levels are average. Written/and or verbal communication is usually satisfactory. Satisfactory knowledge of job related work. Has a good awareness of safety and usually operates within the policy. Plans work and time to a satisfactory level. Attends training when required.

While it is anticipated that the majority of employees will fall into this category, it is vital to recognise that this rating reflects the fact that the employee is performing to the high standards expected.

Could be improved: some or all aspects of the job are performed at below an acceptable level and improvement is needed. Few, if any, targets achieved from last appraisal, little effort made towards achieving appraisal targets. Requires constant supervision. Unco-operative, resists change, sometimes unhelpful. Absence levels are above average and/or punctuality is often poor. Does not communicate effectively. Inadequate knowledge of job related work.

Rating:

Manager reasons why above rating has been selected:

Comments:

Appraisal Experience

You are encouraged to comment on your experience of Dudley Mind's Appraisal system; did you find your appraisal meeting to be helpful and constructive, or was it a negative experience for you? What changes may have helped? Please use this space when you receive the form for signing if you wish to:

July 2008

Employee's Signature:
Appraiser's Signature:
Date: