

Supervision and Appraisal Policy

Date:

April 2025

Review date:

April 2026

Approved by:

Simon Buxton - Director

Contents

Introduction.....	2
Process.....	2
Formal supervision.....	2
Implementation.....	3
Managerial Supervision (Additional Guidance for managers & staff).....	3
Appraisals.....	4
Appraisal Implementation.....	5
The Appraisal.....	5
Personal Development Plan.....	6
Disputes.....	6
Monitoring.....	6
Related Policies and Procedures.....	6
Legislation and Guidance.....	6

Supervision and Appraisal Policy

Policy Lead: Simon Buxton - Director
Version No: 1.0
Date of issue: April 2025
Date to be reviewed: April 2026

Introduction

It is recognised that staff must receive the support, training, professional development, supervision and appraisals that are necessary for them to carry out their role and responsibilities.

They should be supported to obtain further qualifications and provide evidence, where required, to the appropriate regulator to show that they meet the professional standards needed to continue to practice.

There are several different types of supervision that are acknowledged by Banquo, managerial and practice based, this policy will discuss and outline managerial supervision, how it is recorded the need for it and a brief overview of what it entails.

Practice based supervision will not be covered in the scope of this policy as this will be an expectation of the individual to seek in line with their professional registration requirements. This policy aims to define what Managerial supervision covers and what its purpose is for the staff that work at Banquo, how this will improve care and ensure that staff have suitable knowledge about the service within which they work.

Process

Formal supervision

This will be recognised by regular, planned, one to one meeting, at least every three months, on an on- going basis between a member of staff and their line manager. It is normal to expect that there may be discussions and decisions about daily work issues, problems arising, or changes in policies and procedures that emerge in group meetings, and unplanned or 'ad-hoc' discussions.

The frequency of management supervision will be agreed between supervisor and supervisees but once every six months should be regarded as a minimum. The recording of managerial supervision sessions will be stored securely and remain confidential.

The detail included within the supervision is a matter of judgement but in general the record should be detailed enough so that any issue(s) can be revisited, if necessary, later and can still be understood. A short summary of the discussion and the decisions or action points arising from it should be sufficient in most cases. The discussion will involve review of mandatory training requirements, changes to any policy or procedure, the outcome of any ongoing investigations any relevant conduct concerns and issues around hours being worked.

There will also be an expectation to discuss safeguarding, any ongoing or live safeguarding concerns, the employees understanding of the safeguarding process and any concerns they wish to raise. The records should clearly detail any decisions that have been made, the reasons for these, any agreed actions including who will take responsibility and the timescale for carrying out these actions.

A specific management supervision file should be maintained by all line managers so that the record can be reviewed as appropriate. The employee involved in the supervision discussion should be given a copy of any supervision discussions.

Management supervision is a private but not wholly confidential process. This means that the records remain the property of Banquo, not the individual.

Access to supervision records should be controlled and all records should be locked away or electronically stored securely.

Other people may from time to time require access to supervision records. These might include:

- Managers providing cover in the absence of the line manager.
- Investigating officers
- Inspectors (e.g., Inspections by regulatory bodies, CQC)
- Performance staff (e.g., for audit and quality assurance purposes)

Implementation

To aid implementation the policy is not explicit about the model of supervision to be used but rather seeks to embed a culture where supervision becomes the expected norm and this may therefore necessitate different approaches, supervision supports with the use of creative models, including group, network and peer models.

Managerial Supervision (Additional Guidance for managers & staff)

These guidance notes may be used as a checklist to assist the supervision practice, and to ensure that the best possible outcomes are achieved both for the supervisor and supervisee.

To be an effective supervisor you need to:

- Plan a joint agenda (e.g. review previous supervision notes before meeting and make a note of issues you wish to raise)
- Clarify tasks and areas of work that the manager expects of the staff member
- Encourage honest and open discussion of real issues
- Hold regular sessions at agreed dates and times and be on time
- Ensure the session is uninterrupted and is comfortable
- Praise work done well
- Listen, summarise and check out, ensuring that active listening is demonstrated
- Understand the supervisee's equality and diversity needs, including any reasonable adjustments required
- Be constructive and offer balanced feedback, focusing on the positives first
- Support staff and build on existing skills and knowledge appropriate to the post Set clear targets with actions and write these down [as appropriate]
- Anticipate problems and issues before they get serious, e.g. in relation to safeguarding unborn babies, children, young people and adults/violent or abusive service users, standards or quality of care/service delivery, equality and diversity issues etc.
- Where individual cases are discussed, consider whether it is appropriate to record decisions in the clients record
- Do what you say you will do

- Be specific in any comments you make relating to the supervisee's performance
- Whatever the supervisee's present levels of capability/competence, convey confidence that he/she can reach new levels. Try to stretch him/her towards them
- Document actions for supervisor/supervisee as appropriate
- Record any disagreements factually
- Make your own experience, knowledge and skills available to help the supervisee
- Acknowledge conflict and tensions openly e.g. resource or budget constraints
- Acknowledge that you do not have 'all the answers'
- Consider who else can help with any issues raised
- Help staff to reflect on their practice, e.g. what worked, didn't work, why, and lessons for the future.

To be a good supervisee you need to:

- Plan a joint agenda (e.g. review previous supervision notes before meeting and make a note of issues you wish to raise)
- Openly discuss real issues
- Attend regular sessions at agreed dates and times and be on time
- Raise problems and issues before they get serious, e.g. safeguarding unborn babies, children, young people and adults, violent or abusive service users, standards or quality of care/service delivery, equality and diversity issues etc.
- Do what you say you will do
- Keep up to date with related reading around legislative changes, policy and procedures in relation to work or service area
- Keep up to date with related reading around research and theory related to patient and service needs
- Use supervision to reflect on your understanding and application of your knowledge, theory and skills, and how this has an impact on outcomes for the service user

Common Barriers to the delivery of effective supervision can include:

- Saving up criticisms and discussing them all at once
- Unplanned, rushed agenda, and unfocussed sessions
- Inadequate preparation by supervisor or supervisee
- Unclear or unrealistic goals for staff members
- Telling rather than listening
- Failure to offer constructive commentary on performance
- Misuse of power, e.g. bullying, harassment, victimisation
- Allowing interruptions [phones calls etc.]
- Running out of time
- Poor recording of supervision
- Emotional issues unaddressed
- Performance management rather than a developmental focus.

Appraisals

The appraisal process aims to improve the effectiveness of the organisation by contributing to achieving a well-motivated and competent workforce.

Appraisal is an on-going process with formal meetings to review progress. There should be no “surprises” at the annual review. Issues should be raised with individuals in a timely manner throughout the year.

The appraisal discussion is a two-way communication exercise to ensure that both the needs of the individual and of the organisation are being met and will be met in the next year.

The appraisal discussion will review the previous year’s achievement and will set an agreed Personal Development Plan for the coming year for each member of staff.

All directly employed employees who have completed their probationary period are required to participate in the appraisal process.

Appraisal Implementation

Appraisal discussions will be held on an annual basis. They will be arranged by the appraisee’s line manager. Line managers are encouraged to provide the opportunity for an additional six month verbal appraisal review and other informal reviews as necessary throughout the year.

The discussion will be held in private. Information shared during the appraisal will be shared only with senior management. The exception is training needs, which will be used to determine appropriate development activity through the year as appropriate. Confidentiality of appraisal will be respected.

All appraisal documents should be issued to both parties prior to the discussion, in order to allow time for both parties to reflect and prepare. These will provide a framework and focus for the discussion.

The Appraisal

The appraisal discussion will allow an opportunity for both the appraisee, and the appraiser to reflect and comment on the previous year’s achievements. It will praise achievement and encourage the appraisee in his/her role. The discussion should include:

- Punctuality and attendance (with recognition of good or improved attendance)
- Demonstration of collaborating well with colleagues and the team
- Performance against the job description and organisational objectives
- Performance against personal objectives
- Identifying areas for development and / or improvement.
- Training needed to support development/improvement

The discussion should be a positive dialogue and will focus on assisting the appraisee to acquire the relevant knowledge, skills and competencies to perform his/her current role to the best of his/her abilities.

Personal Development Plan

The appraisee and line manager should agree on a Personal Development Plan for the appraisee for the following year. This will reflect the appraisee's aspirations and the organisation's requirements and should align personal and organisational goals. The organisation and the line manager will support the individual to achieve these goals during the forthcoming year.

Any training needs, future training requirements, planned qualifications, development opportunities and career planning should be discussed in the light of the Personal Development Plan.

Disputes

The focus of the discussion should be on the quality of conversation, rather than on completing the paperwork and process.

The appropriate forms will be completed and signed by both parties. The appraisee will be given the opportunity to note any comments that he/she does not agree with and complete a self-assessment..

Monitoring

Regular audits on employee files will be carried out in accordance with Banquo's Quality Governance and Risk Policy

The Registered Manager will ensure this policy continues to adhere to current standards and guidelines.

Related Policies and Procedures

Quality Governance and Risk Policy
Information Governance Policy
Staff Training and Development Policy

Legislation and Guidance

Skills for Care - [Effective-supervision-guide \(skillsforcare.org.uk\)](https://skillsforcare.org.uk/effective-supervision-guide)

CQC [Regulation 18: Staffing - Care Quality Commission \(cqc.org.uk\)](https://www.cqc.org.uk/publications-and-reports/regulation-18-staffing)