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APPRAISAL POLICY

1. POLICY STATEMENT

- 1.1 RBMind is committed to staff development and training and places a great importance on the development of all staff in the organisation.
- 1.2 Staff are a key resource to RBMind. All staff have a right to expect a supportive enabling environment and RBMind gives a high priority to appraisal with the aim of maintaining high standards of work.
- 1.3 Appraisal will be conducted in an open and honest way that recognises people as individuals, the unique experiences they bring to their work, and the impact their work has on them including their race, gender, disability, sexual orientation and mental health.
- 1.4 Appraisals are not intended merely to serve as a record of past performance; they are also used to set new goals and targets; agree expectations; and to foster all aspects of an employee's professional and personal development. Appraisals should provide both positive and negative feedback and acknowledge the recipient's work and energy.
- 1.5 RBMind's process of supervision is an integral part of the appraisal system being formulated by this policy. Supervision focuses predominantly on a short-term review of work while appraisal concentrates on a longer-term and hence a broader perspective.

2. AIMS

- 2.1 The aim of the Appraisal Scheme is to motivate staff, improve performance and plan work in line with RBMind's objectives.
- 2.2 It is important that every member of staff is:
 - . recognised and valued for the work they do
 - . given the opportunity to discuss their personal development at work
 - . given the opportunity to agree objectives with their manager
 - . given clear information about what is expected from them at work
- 2.3 Every individual working at RBMind has an important part to play in helping the organisation to achieve its corporate objective. The appraisal allows staff to look more clearly at their role, agree objectives for the year and receive information about how they are expected to work.



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2.4 Every individual should receive an annual appraisal which should take place in February/March each year in order to inform the final decision on the Corporate plan. Appraisals can be planned to take place earlier in the year but must be completed not later than mid March.

3. WHAT IS AN APPRAISAL?

- 3.1 The appraisal meeting is a formal meeting where a line manager meets with a member of staff to review the individual's work and develop and agree future objectives and work standards. A record of the meeting is kept in the form of the Appraisal Form. The manager, the member of staff and the Director should each retain a copy of this form.
- 3.2 All permanent staff, and staff with temporary contracts of one year or more, must have an annual appraisal. In addition, managers are expected to provide all their staff with regular supervision (as outlined in RBMind's supervision policy).
- 3.3 Where temporary staff with contracts of less than one year are concerned, managers should discuss with the member of staff and Director, and agree work standards and objectives and a suitable period of review.
- 3.4 Unpaid staff/volunteers, within the line management structure, who work full time or who work a significant number of hours on a regular basis should have an appraisal.
- 3.5 Throughout the year, as part of the regular supervision process, staff and managers will review process, agree ways to achieve targets and monitor the work.
- 3.6 During the appraisal, specific training and development needs will be identified. Each member of staff will have their own personal training and development plan for the year.
- 3.7 RBMind places great importance on personal development and staff are encouraged to identify relevant personal objectives for the appraisal period.
- 3.8 Managers are responsible for explaining the scheme to new staff and for ensuring that all staff understand the process. The Director can be contacted for advice and information about this appraisal policy.



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4. STANDARD AREAS OF APPRAISAL

4.1.1 Appraisal will cover the following areas:

- Personal Details
- Assessment of past performance - review in line with the previous year's objectives. - Describing major achievements or developments which have taken place.
- Review of Job Description - review of staff member's job description, in line with work plan and note content changes, corrections and amendments.
- Personal Performance Standards - the standards for performance should be set out and agreed, against which actual performance will be measured.
- Objectives - agreed objectives for the forthcoming year.
- Training and Development - listing training attended during the previous year; identifying training needs, agreeing action plan and development opportunities.
- Comments by both parties.
- View of what RBMind can do to help with job.

5. ASSESSMENT OF PAST PERFORMANCE

- 5.1** At the end of the 12-month period the manager and member of staff should discuss and review the previously agreed objectives and performance standards. They should discuss and agree whether objectives and performance standards have been achieved, and if so, to what extent. The discussion should include the effects of unforeseen circumstances and additional activities carried out during the year.
- 5.2** Achievements should be acknowledged. Managers should read the guidelines on "giving feedback" and consider carefully how they will feedback information to their staff about work performance in an effective and constructive way prior to the annual appraisal meeting.
- 5.3** Comments made about work performance and achievements should be based on outcomes agreed at the beginning of the appraisal period.
- 5.4** If actual performance is compared against agreed performance measures and the individual's performance at work is unacceptable, the manager and staff member should identify and agree the cause(s) for this. Future action plans need to be drawn up and will affect the following year's objectives. Action plans for retraining should detail standards of performance and monitoring period. Managers should clearly indicate what action will be taken if performance standards continually fall below the agreed standard. This should be recorded and may result in disciplinary action.



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6. JOB DESCRIPTION REVIEW

- 6.1 Job descriptions will be reviewed as part of the appraisal process.
- 6.2 Changes to content, corrections or amendments should be agreed noted.
- 6.3 Following the appraisal, once agreed with the post holder, job descriptions that have significant changes should be submitted, for evaluation, to the next Job Evaluation Committee meeting.

7. PERSONAL PERFORMANCE STANDARDS

- 7.1 Personal performance standards must be agreed, for the following areas, for all posts:
 - . Teamworking
 - . Timekeeping
 - . Quality Standards
 - . Understanding RBMind's values
 - . Management of self
 - . Management of others (where applicable).
- 7.2 Standards of performance should be decided upon in each of these areas.
- 7.3 It is important that the standards of performance are clearly defined so that everyone knows what is expected of them. These must be agreed at the annual appraisal meeting and recorded on the Appraisal Form and signed.

8. OBJECTIVE SETTING

- 8.1 Involves agreeing work for the future and looking at past work. Agreeing work for the future is called objective setting.
- 8.2 Objectives for the coming year should be discussed and agreed at the annual appraisal meeting, at the start of the appraisal period. Objectives are statements of what individuals are aiming to achieve in a key area of responsibility during the coming appraisal period. Objectives define priorities for the year ahead.



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They should be developed from RBMind's work plans through a cascading of responsibilities and by relating individual job requirements and capabilities.

- 8.3 Defining objectives is an essential part of the appraisal. Managers should provide staff with information about the corporate plan and team objectives. This information will help staff to propose their own objectives and standards of performance.
- 8.4 Objectives should be set at the start of the appraisal period and should cover the following 12 months. Regular informal reviews as part of the supervision process provide the opportunity to check on progress, agree new/amended objectives and deal with any problems as they arise.
- 8.5 Staff starting part-way through year should have appraisal objectives set, once they have been confirmed in post. These objectives will run from that point in time until the annual appraisal in February/March.
- 8.6 Objectives must be measurable and the form of measurement should be recorded on the appraisal document. Standards of performance must be agreed. Each objective must have several standards of performance attached to it (e.g. quality, cost, timescale). The standard of performance should detail the following, where relevant:
 - . the desirable change(s);
 - . the end result(s);
 - . the targeted time frame.
- 8.7 Any agreed action detailing how the objective will be achieved must also be recorded on the appraisal form during the annual appraisal meeting. The process of achieving the objective as well as the end result is important.
- 8.8 The number of objectives agreed will vary, depending on the post, job requirements, corporate plan and individual skills and abilities. As a guideline, a member of staff and their manager should aim to agree, four-to-six objectives and no more than eight for the year.
- 8.9 It is important that each member of staff understands and agrees their objectives. It is the line manager's responsibility to develop achievable work plans and objectives with their teams and individual members of staff. In the event of a failure to reach agreement there are various courses of action:
 - informal resolution through management structure



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- or formal procedures e.g. grievance procedure: for an individual, member of staff or disciplinary procedure: for consistent failure by staff to reach agreed objectives.

9. TRAINING NEEDS ANALYSIS

- 9.1 The manager and staff member should identify the skills, abilities and knowledge required to undertake tasks and achieve objectives identified during the appraisal process.
- 9.2 The manager and staff member should then look at the skills, ability and knowledge of the individual. Where there is a gap between the skill required to undertake a task or achieve an objective and the individual's skill, this is a training and development need.
- 9.3 If the individual's skills are already strong the manager can suggest ways which would further enhance or broaden them.
- 9.4 Training and development needs should be identified and recorded on an Appraisal Form.
- 9.5 The manager and member of staff should then consider the best way for the individual to gain the required skill. Preferred learning styles should be discussed. The training/development intervention could take a variety of forms e.g. structured experiences, project work, coaching, self-study, training courses. This list is in no way exhaustive. The appropriate method for the individual to learn should be considered.
- 9.6 Managers are responsible for working with staff to make sure training needs are identified and met within available resources.
- 9.7 There may be no immediate training and development needs.

10. PREPARATION



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- 10.1 Managers and staff should prepare for the annual appraisal meeting well in advance. At least 2 weeks before the date of the meeting managers should provide staff with:
- . a copy of the Appraisal Form
 - . a copy of the Staff Guidelines
 - . the objectives agreed at the last appraisal (including any changes resulting from reviews)
 - . job description

10.2 Managers and staff should familiarise themselves with the appraisal documentation.

11. TRAINING AND INDUCTION

- 11.1 On implementation all staff will be made fully aware of this policy through training and briefing sessions.
- 11.2 All new staff will be informed during their induction of this policy.

12. MONITORING AND REVIEW

- 12.1 RBMind will monitor the policy to ensure consistency. The Director will undertake the monitoring and report to RBMind's Management Committee
- 12.2 The policy will also be reviewed annually to ensure it meets the needs of both individuals being appraised and line managers.
- 12.3 The Director will be responsible for producing procedures for monitoring and review.

GUIDELINES FOR STAFF

What is an appraisal?

1. An appraisal is a time when you can plan and agree your work objectives for the coming year, discuss your personal development needs, your aims and hopes for the future and your achievements over the past year.
2. You have the right to receive an annual appraisal every February/March. You and your manager will agree the exact date.



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3. Two weeks before your appraisal you will be given relevant paperwork. This is so that you can prepare in advance, considering all the Issues relevant to your appraisal
4. When preparing for your appraisal, you should think about your achievements at work. You should look at your skills and abilities and also anything which might have affected your work. You should consider training and development needs as well as longer- term career plans.
5. You may want to identify key areas of responsibilities and think about particular priorities for the coming year. If you do, consider what result is realistic to achieve for each area of responsibility during the year and think about how to measure the achievement of an objective.
6. These guidelines have been prepared to help you prepare for your appraisal. Your manager and the Director can also provide you with information and advice.
7. The following are suggestions to help you prepare. You do not have to consider all of them. But you will find your appraisal more useful if you do some preparation.

The Past Year:

- . Which of your objectives do you feel you have undertaken most effectively?
- . Are there any other areas in which you think you have made a significant contribution?
- . Which of your objectives do you think you have undertaken least effectively?
- . What do you believe are your main strengths relate to your job performance?
- . What do you believe are your main areas of improvement?
- . Did you fully understand your agreed objectives? Were they reasonable?
- . What areas did you excel in and why?
- . What areas were you less successful in? Why? How can these be improved?
- . What problems were encountered with your manager/supervisor/team members/colleagues/other departments? What were the reasons for this and how can the problems be overcome?

The Year Ahead:

- . Identify key areas of responsibility and think about particular priorities for the coming year. Your manager will have provided you with information about the work plan and how it affects the work of your team. You should consider the implications for your work and the work of the team as well as your usual job requirements.
- . Draft some key objectives for the coming year. List about five or six



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objectives, which cover the workplan and job requirements. Consider what result is realistic to achieve during the next appraisal period.

- . Think about how to measure achievement of an objective and then (set standards (based on such things as quality, timescales, cost etc) consider what your desired outcome is!
- . What on-the-job activities (eg structured experience, project work, coaching, on the job training) do you feel you require in the coming year?
- . Which areas of work could benefit from additional or refresher training?
- . What are your immediate and longer-term career aspirations? Are they realistic? What needs to happen to improve the prospects of your aspirations being realised?
- . Ask yourself, "what can I do to improve my own work, my team's, my organisation's performance?"

What are your rights?

Your rights include:

- . to receive an appraisal when it is due
- . to gather your own evidence for the appraisal
- . to be involved in setting future objectives
- . to ask for and receive explanation of unclear issues
- . to be recognised as an individual
- . to state your opinions
- . to record any disagreements eg if you think something is not achievable

GUIDELINES FOR MANAGERS

1. You must undertake an annual appraisal for each member of your team.
2. You should agree a date for the annual appraisal meeting with the individual, allowing approximately 1.5-2 hours.
3. At least two weeks before you should provide the member of staff with a copy of the Appraisal Form, job description, the objectives agreed at the last appraisal, any changes resulting from progress reviews, a copy of the guidelines for staff.
4. Think through what the member of staff has achieved and what comments to make under each section of the form. Do not fill out the Appraisal Form at this stage. You should already have briefed the member of staff on future plans for



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- the team/organisation etc. and have considered the key areas for the individual's future objectives.
5. You should aim to achieve the following during the appraisal:
 - . praise the member of staff for achievement and recognise good performance
 - . identify problems and how they may be overcome,
 - . encourage individual performance and development in current job
 - . link personal effort to team and organisational goals
 - . review job description and agree changes
 - . agree personal targets and measure progress
 - . identify individual training needs
 - . plan individual career or professional development
 6. You should prepare for the meeting in advance. Make sure the room is quiet and that there will be no interruptions: ensure that your phone has been transferred. Think about surroundings, seating and so on.
 7. Consider the way to start the interview. From the start you should aim to encourage the staff member to participate in the meeting and help them to relax. You should explain the format of the meeting and outline the objective of the appraisal and set an agenda. It is also important to set the time frame.
 8. Remember that the member of staff has certain rights and these should be respected. The rights of the member of staff include:
 - . to receive his/her appraisal when it is due
 - . to gather his/her own evidence for the appraisal
 - . to be involve in setting future objectives.
 - . to ask for and receive explanation of unclear issues
 - . to be recognised as an individual
 - . to state his/her opinions
 - . to record any disagreements eg if s/he thinks something is not achievable
 9. Remember that you also have rights and they include:
 - . the right to consult others (ie the Management Committee)
 - . the right to say "no" to unreasonable requests
 - . the right to adjourn the interview
 10. You should agree future objectives and targets with the member of staff. Encourage the member of staff to suggest their own objectives.



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Objectives should:

- . be agreed jointly -with commitment on both sides
- . be clear and specific - to avoid misunderstanding
- . have an agreed way of measuring - so that you both know when the target has been reached
- . be challenging - use the objectives for personal development
- . be achievable - encourage the postholder work out how to achieve the objective, there is no point agreeing a target that is impossible to achieve
- . be timed - it is essential that a target has a deadline, include a review point

- 1.0 When setting standards and objectives, it is your responsibility to make sure you both have a common understanding of what you have agreed.
- 1.1 The appraisal should be based on factual information. Distinguish between facts, judgements and irrelevant information. You can obtain factual information from working alongside the individual recording information through the appraisal period, referring to supervision notes and the last appraisal
- 1.2 It is essential that you remain neutral throughout the appraisal process. The following points may help:
 - . be aware of your own personal biases and prejudices
 - . use open questions and avoid leading questions
 - . be aware of your facial expressions, posture and gestures;
 - . monitor your voice, tone and volume
 - . avoid stating personal views
 - . listen
 - . use encouraging responses - be prepared to change your mind
 - . adjourn the interview if you need to
- 1.3 Thought should be given about how to end the interview. The closing statement must be appropriate to the content of the meeting. The following are suggestions:
 - . Agree an informal review date (to take place within supervision)
 - . Assess the meeting that has taken place
 - . Encourage the staff member to summarise the meeting
- 1.4 Remember, appraisal is a continuous process.

The appraisal should not contain surprises. Using supervision and day to day management, you should review progress toward achieving the agreed objectives. You and the staff member must review the following periodically:

Name of policy / procedure:
Handbook section and code:
Status:
Approved by:
Review date:

Appraisal Policy
Learning and Development – LD01
Approved, in place
Board of Trustees, Sept 2004



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- i) how the individual is progressing on objectives;
- i) what problems the employee may be facing; and
- ii) any changes to the plans



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GUIDELINES ON GIVING FEEDBACK

Managers may find the following rules useful to remember when giving feedback.

- 1. Focus on behaviour**
Avoid making comments and judgement on the staff member's personality.
Concentrate on actual behaviour.
- 2. Agree future changes**
Encourage the person receiving the feedback to suggest a future change for him/herself. Do not impose the answer, as this will not gain the person's commitment.
- 3. Be specific**
Be concise and factual. People can change behaviour if they know exactly what it is that needs changing.
- 4. Choose timing carefully**
Give feedback at a time when the receiver will be most receptive
- 5. Be prepared to give and receive**
The person giving the feedback must be prepared to receive some in return
- 6. Be honest**
Remember that honesty may improve relationships.