

Supervising and Appraising Well

A Guide to Effective Supervision and Appraisal
for those working in Social Care



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Foreword

The Care Council for Wales (Care Council) is the social care workforce regulator in Wales and is responsible for promoting and securing high standards across the social care, childcare and early years workforce. The Care Council aims to ensure that the workforce in Wales has the right skills and qualifications to work to a high professional standard, and is capable of delivering high quality services. The Care Council supports the view that the quality of provision is enhanced when social care workers have access to comprehensive, structured professional support and performance management. Good quality supervision is a priority for all social care providers.

The Care Council has produced this booklet to provide practical guidance, clarity, ideas and examples.



This booklet is divided into two sections:

▶ Section 1:

General information and guidance on supervision and appraisals.

▶ Section 2:

Practical templates and examples that you may wish to adapt for your use.



Who is this guidance for?

This guidance is for everyone responsible for carrying out supervision and appraisal with social care workers.

Who needs supervision and appraisal?

All social care workers and managers, whether they are full, part-time, volunteers, apprentices or work placement students need supervision and appraisal.

Introduction

Performance management, supervision and all appraisal and evaluation within social care should be undertaken bearing in mind the principles laid out in the *Code of Practice for Social Care Workers* and the *Code of Practice for Social Care Employers*.

Effective supervision also promotes a culture of learning within organisations, encouraging individuals to discuss their learning needs and how to address these. It also takes into account individuals' language and cultural needs, and in Wales, practice and professional issues around Welsh language and cultural needs.

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What is performance management and improvement?

Performance management is a means of enabling and delivering the best possible service through processes such as: setting outcomes, goals, and expectations, monitoring progress, measuring outcomes, and recognising or supporting improvement for individual workers and the workforce as a whole.



What is supervision?

Supervision is an accountable, two-way process, which supports, motivates and enables the development of good practice for individual social care workers. As a result, this improves the quality of service provided by the organisation. Supervision is a vital part of individual performance management.

A general definition of supervision is suggested by Tony Morrison (2001) as¹:

A process by which one worker is given responsibility by the organisation to work with another worker(s) in order to meet certain organisational, professional and personal objectives.

What is appraisal?

Appraisal is a more formal process involving the review of a social care worker's performance and improvement over a period of time, usually annually. It includes evaluation of goals and objectives; evaluation of job role; identifying positive performance; identifying areas for improvement and identifying and planning how development needs will be met.

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What is the difference between supervision and appraisal?

Supervision is the regular, contact between a supervisor and a social care worker in which to monitor and reflect on practice; review and prioritise work with individuals; provide guidance and support and identify areas of work that need development.

Appraisal is the evaluation process that follows the monitoring of practice and performance. It allows job and individual development objectives and plans, with milestones, to be agreed for ongoing review through supervision.

¹ Staff Supervision in Social Care, Tony Morrison (2001)

Section 1

Effective performance management and improvement is one of the most important elements in ensuring positive outcomes for service users and carers who use social care services. It also has a crucial role to play in the development, retention and motivation of the social care workforce.

What are the benefits of supervision and appraisal?

For the organisation:

- *Supporting the social care worker to understand the organisational values, also what outcomes the organisation is working to and how they contribute to these.*
- *Ensuring that service users and their carers receive a quality service.*
- *Enabling understanding and implementation of policies and procedures.*
- *Improving internal communication.*
- *Sharing responsibility for achieving outcomes.*
- *Promoting staff retention.*
- *Reducing rates of grievances, sickness and complaints.*
- *Supporting the social care worker to achieve the organisation's outcomes and standards.*
- *Promoting clear communication between the organisation and the social care worker.*
- *Ensuring that the social care worker has a manageable and appropriate workload.*
- *To adhere to the relevant Care and Social Services Inspectorate Wales (CSSIW) National Minimum Standards and the Care Council for Wales' Code of Practice for Social Care Workers.*
- *Promoting good practice.*

For the professional social care worker:

- *Supports the social care worker to be clear about his or her responsibilities and accountabilities and competent in his or her role.*
- *The opportunity to reflect on, analyse and evaluate practice.*
- *Enables setting, agreeing and reviewing SMART (specific, measurable, achievable, realistic, timely) goals and objectives.*
- *Provides constructive feedback.*
- *Promotes consistency of practice.*
- *Recognises and values good practice.*
- *Supports the health and well being of the social care worker.*
- *Supports people to understand their role in the social care workforce.*
- *Reinforces clear professional boundaries.*
- *Promotes self confidence.*
- *Identifies learning and development needs.*
- *Identifies possible coaching and mentoring needs.*
- *Develops team working.*
- *Increases transparency and openness.*

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For the service user:

- *A worker is clear about their roles and duties and has had opportunities to discuss and develop their learning, enabling the provision of quality care services.*
- *A worker who has a clear understanding of the requirements of the Code of Practice for Social Care Workers.*

Developing performance management and improvement skills

The person with responsibility for performance management and improvement needs to develop the competence to undertake supervision and/or appraisal.

This could be through:

- ▶ Management, learning and development programmes and qualifications.
- ▶ Specific supervision and/or appraisal programmes to develop competence and skills.
- ▶ Refresher training at agreed intervals.
- ▶ Shadowing a more experienced supervisor.

Personal and professional attributes for managing performance and improvement:

- *Honesty and integrity.*
- *Listening and communication skills.*
- *Leadership and motivational skills.*
- *Being a good role model.*
- *Analysis of practice.*
- *Confidence building skills.*
- *Boundary setting.*
- *Policy and practice knowledge and credibility.*
- *Knowledge and understanding of staff development.*
- *Flexibility and a 'worker centred' approach.*

What staff can expect from supervision:

- *To experience supervision that enables them to grow and develop in their professional role.*
- *That supervision meetings promote equality and value diversity both personally and within the organisation.*
- *To have supervision treated as a priority commitment.*
- *To have feelings and opinions recognised and respected.*
- *To be treated as a respected professional colleague.*
- *To be able to express professional disagreement.*
- *To be supported to learn from mistakes.*
- *To ask for and receive advice and guidance.*
- *To have confidential supervision sessions in line with organisational policy.*

Responsibilities of the supervisor:

- *To ensure that supervision is in line with organisational policy.*
- *To prioritise supervision sessions.*
- *To plan supervision sessions.*
- *To prepare well for supervision sessions.*
- *To identify and record accountability for the work of supervised staff.*
- *To provide support and guidance to supervised staff.*
- *To obtain feedback from the individual and others.*
- *To enable and promote reflective practice for supervised staff.*
- *To identify development needs and opportunities of supervised staff.*
- *To record all decisions and discussions in the supervision record.*
- *To record service user related decisions in the service user file.*
- *Implement any agreed actions.*
- *To maintain confidentiality of supervision in line with organisational policy.*

Responsibilities of the supervised social care worker:

- *To attend all planned supervision sessions.*
- *To prioritise supervision sessions.*
- *To plan supervision sessions.*
- *To prepare well for supervision sessions.*
- *To use the session positively to discuss work and professional development.*
- *To identify any situations that are outside their competence or where they are unsure.*
- *To implement any agreed actions.*
- *To read and agree the supervision record.*
- *To reflect on learning and development activities and how these have an impact on practice.*

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The supervision process

Supervision and Appraisal Policy

It is good practice for all social care organisations to have a clear supervision and appraisal policy that:

- ▶ Provides a clear definition of supervision that is linked to organisational outcomes and values.
- ▶ Sets clear expectations and boundaries.
- ▶ Stipulates frequency, duration, location and recording.
- ▶ Provides an organisational proforma for supervision contracts and records.
- ▶ Clarifies confidentiality and access to supervision and appraisal notes.
- ▶ Highlights the importance of supervision and appraisal.
- ▶ Makes clear the role, tasks, rights and responsibilities of the supervisor and workers.

- ▶ Emphasises that supervision and appraisal is an entitlement for all staff, regardless of role.
- ▶ Demonstrates how quality supervision and appraisal links to performance management and improvement.

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Supervision contract or agreement

Every supervisor should make a written contract/agreement with the workers they supervise.

It needs to include:

- ▶ The frequency of supervision sessions.
- ▶ The approximate length of sessions.
- ▶ The location of sessions.
- ▶ The main areas for discussion/agenda items.
- ▶ Confidentiality boundaries.
- ▶ The format, responsibility and timing of recording supervision sessions.
- ▶ Procedure for complaints/reconciling differences.

Contracts that set out what either party can expect from supervision which enable the organisation to audit and monitor supervision performance.

Why should supervision be recorded?

- ▶ To keep a record of what was discussed and actions agreed.
- ▶ To keep a record of any matters or disagreements.
- ▶ To benchmark and audit the quality of supervision.
- ▶ For performance management of staff.

At the end of each session, or as soon as possible thereafter, both supervisor and member of staff should sign and date the supervision form to confirm its accuracy. Each party will keep a copy of the recording sheet. The supervisor's copy may be kept in a supervision file or personal staff file. The organisation may also store the records electronically.

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Confidentiality

It is important for staff to be comfortable in discussing all aspects of their work. To encourage this, there needs to be clarity as to what will happen to information discussed. The supervisor must clarify this with all supervised staff.

The supervision record should be accessible to the supervisor and staff member at any time. Although this is a confidential document, it is also an organisational document which does not belong solely to the supervisor and member of staff. A supervision policy should specify in what situations others can access this record. This needs to be clear to both parties.

Such situations might include:

- ▶ Auditing.
- ▶ Internal/external inquiry.
- ▶ Grievance.
- ▶ Disciplinary procedures.
- ▶ Complaints.
- ▶ Compliments.

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Frequency

Frequency of supervision depends on a number of factors:

- ▶ The organisation's supervision policy.
- ▶ The experience, confidence and competence of the worker.
- ▶ The individual's support needs.
- ▶ If there are performance issues.
- ▶ Compliance with National Minimum Standards.

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Key message:

New employees, apprentices, trainees, volunteers and those members of staff where there are performance concerns may need more frequent supervision.

Where face-to-face meetings are problematic e.g. rural areas, some supervision sessions can be held via electronic means e.g. telephone, video etc.

Review and evaluation

Each year the organisation should undertake a review of its supervision practice as part of planning and review processes.

The review should include:

- ▶ Frequency and nature of supervision.
- ▶ Staff satisfaction with the quality of supervision.
- ▶ Organisational and policy issues identified by supervision.

It is not just the existence of supervision that makes a difference to service users and staff, but good quality and effective supervision.

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Care and Social Services Inspectorate in Wales National Minimum Standards for Care Homes and Domiciliary Care Agencies

The National Minimum Standards on staff supervision are as follows:

'Staff have regular, recorded supervision meetings at least once every two months (3 months for Domiciliary care) with their senior/manager in addition to regular contact on day to day practice (fortnightly supervision where there is no regular contact; pro-rata for part-time staff), covering:

- *translation of the home's philosophy and aims into work with individuals.*
- *monitoring of work with individual service users.*
- *support and professional guidance.*
- *identification of training and development needs.'*

Key conditions for delivering the supervision and appraisal session

Preparation

- 1 Plan for the supervision session, prioritise what needs to be discussed and ensure you have pen and paper to take notes.
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- 2 Review the supervision record of the previous session, and note items and action plans that need following up.
.....
- 3 Set supervision dates in advance so that they are planned and valued.
.....
- 4 Check whether there are likely to be any unavoidable interruptions (these should really be exceptional).
.....
- 5 Ensure the physical environment is laid out to allow the worker to express feelings, worries and be mindful of confidentiality issues.

The supervision meeting

Start the meeting on time. If you don't make supervision a priority, neither will the supervised workers.

1. Confirm the agenda. Make sure the worker has had an opportunity to contribute to the agenda.
2. Start the meeting by asking the worker how they are, in order to promote their health and wellbeing and to put measures in place if necessary.
3. Use good communication techniques, for example open body language and good eye contact.
4. Listen and concentrate on what the person is saying without interruption.
5. Use open questions - what, why, who, where, when and how to explore ways of thinking creatively about a problem. Challenge where appropriate.
6. Provide constructive feedback, praise, and achievements and encourage innovative ideas - giving more positive than critical comments.
7. Reflect on learning and training and how this has informed practice.
8. Discuss and review work and practice issues. If there are any conflicts and problems relating to work, assist in providing a solution wherever possible.
9. Discuss and evaluate training and personal development needs. This may include feedback that the worker needs.
10. Share any relevant information.
11. Record the meeting by taking notes. Give a copy of the record to the worker. Note any areas of disagreement, ensuring that both points of view are recorded.

Following supervision and appraisal

1. Write up the notes and actions agreed.
2. Confirm accuracy with worker.
3. Place a signed and dated copy of the notes in worker's personal file.
4. Agree dates and location for future sessions.

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Common barriers to quality supervision and appraisal

1. Lack of organisation policies or standards on supervision and appraisal.
2. Lack of time and space.
3. Interruptions.
4. Supervisors 'telling' rather than listening.
5. Unclear or unrealistic goals for staff.
6. Negative criticism, bullying or harassment.
7. Poor recording of supervision.
8. Inadequate training for supervisors.
9. Lack of supervision for supervisors.
10. Unplanned, infrequent or lack of supervision.

Section 2

This section offers an example and proforma developed from the many different ones used by organisations within the social care sector. They are intended as exemplar materials for information and guidance and are intended to be adapted to meet the needs of your organisation.

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Supervision policy

1. Purpose

This policy will provide a framework for the one-to-one supervision of all staff whether on a temporary (including agency staff), permanent, full-time or part-time basis.

This policy sets out how staff can expect to be supervised and provides supervisors with the key points of effective supervision.

2. 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 ensure 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.
- To ensure that staff promote equality and value diversity and practice in accordance with the *Code of Practice for Social Care Workers*.

3. Definition of supervision

Supervision is a regular one-to-one meeting between the supervisor (e.g. line manager) and supervisee in order to meet organisational, professional and personal objectives. Supervision forms a key part of individual performance management. For newly appointed workers, it underpins the *Social Care Induction Framework*. It is the foundation on which appraisal is built.

4. Supervision contracts/agreements

Arrangements for personal and individual supervision should be subject to a written individual supervision agreement and each formal session must be recorded in an appropriate format. The agreement must be reviewed at least annually, but can be amended at any time with the agreement of both parties.

5. Formal and informal supervision

'Formal' supervision will be recognised by regular, planned, private, one to one meetings, on an on-going basis between a member of staff and the same supervisor.

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.

It is inevitable that there will be discussions and decisions about work issues, challenges or new information that arise in group meetings or informal discussions. If any decisions are made in relation to service users in informal discussions or meetings, the worker must ensure that this is clearly recorded in the service user's file.

6. Minimum frequency

The frequency of formal supervision for social care workers is laid down in the relevant National Minimum Standards and is at least every two months for social care workers in care homes, and at least every three months for domiciliary care workers. These should be regarded as an absolute minimum and it is expected that formal supervision will be provided more frequently if possible. Frequency for each individual worker should be agreed in the Supervision Contract.

7. Responsibilities of line managers

Line managers must ensure that supervision takes place in line with this policy and National Minimum Standards for all staff for whom they have responsibility. It is the responsibility of line managers to ensure that sessions are planned and prepared and that there is an auditable record of sessions.

8. Responsibilities of workers

Workers are responsible for attending supervision sessions as arranged with a positive attitude to discussing and reflecting on their work. They are also responsible for implementing any course of action agreed.

9. Disagreements

Disputes should be dealt with through discussion wherever possible. This should involve the supervisor's line manager if necessary. If more formal processes are necessary this must be through the Disciplinary, Capability, Complaints or Mediation processes as appropriate.

10. Recording

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. An outline of decisions or action points with reasons and a summary is normally adequate. The record should be signed and dated by the supervisor and the worker. 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 (e.g. administration staff) this must be agreed with the worker.

11. Storage

The supervisor should maintain (hard) copies of supervision records. These may be accessed for review in specific circumstances. The supervisor should control access to supervision records and all records should be locked away.

12. Access and confidentiality

Supervision records are private but not confidential. They are the property of the organisation, not the individual. Supervisors will need to discuss the content of supervision sessions with others on occasion - e.g. their own line managers. This should always be with the knowledge of the worker.

Other people may sometimes require access to supervision records.

These might include:

- Managers providing cover in the absence of line manager.
- Senior Managers (for quality assurance purposes).
- Investigating officers (e.g. for capability or disciplinary purposes).

- Inspectors.
- Performance staff (e.g. for audit and quality assurance purposes).

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Supervision contract/agreement - example

SUPERVISION CONTRACT/AGREEMENT

Name of Staff member:

Name of Manager:

As an employee I agree to:

- Prepare for the session and contribute to the agenda set for the session.
- Give the appointment a high priority and be punctual for the session.
- Be willing to learn and change, and be open to receiving support and challenge to help me do so.
- Take responsibility for making effective use of the time, for the outcomes and any actions I take as a result of supervision.

As a manager I agree to:

- Protect the time and space of the appointment, be punctual, and ensure privacy and no interruptions.
- Work with to agree the agenda for each session.
- Offer support, be prepared to challenge as well as provide information or advice to enable you to reflect in depth on issues affecting your practice.
- Use my own supervision to support and develop my own abilities in working with you, without breaking confidentiality.

Structure of sessions:

- The date of our first supervision meeting using this contract will be
- The frequency of our meetings will be
- The length of our meetings will be
- The venue will be
- If either of us has to cancel, our contingency plan will be

Content

- The usual content of our meetings will be
- We will set our agenda in the following way
- We agree the following boundaries

Process

- We will consider requesting help from a third party in the following circumstances

- We agree that a record of supervision will be recorded by

- We have both read and agreed to proceed on the basis of the standards stated in the Supervision Policy.

Signature of Employee

Date :

Signature of Manager:

Date :

Supervision policy - example

SUPERVISION POLICY

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- Senior Managers (for quality assurance purposes)
- Investigating officers (e.g. for capability or disciplinary purposes)
- Inspectors
- Performance staff (e.g. for audit and quality assurance purposes)

Record of staff supervision meeting - example

RECORD OF STAFF SUPERVISION MEETING

Staff name:	Date:
Position:	Line Manager:

Progress with work programme since last supervision meeting

Targets	Work completed	Next steps

Progress with other targets/objectives since last supervision meeting

Targets	Work completed	Next steps

Achievements since last supervision meeting

Difficulties or problems since last meeting. Agreed actions to overcome them.

Work with individual service users. Updates, progress and challenges	Actions agreed

Progress with learning plans and any other matters agreed at annual appraisal

Other matters

Any other matters discussed

Signed (worker)

.....

Signed (line manager)

.....

Staff evaluation of supervision - example

STAFF EVALUATION OF SUPERVISION

Please evaluate the supervision you have received as it relates to the areas listed below.

The rating scale is as follows:

Strongly disagree 1

Disagree 2

Neutral 3

Agree 4

Strongly Agree 5

Evaluation:

- My supervisor provides me with appropriate training opportunities.
- My supervisor is a good teacher/coach.
- My supervisor understands my job and what I do well enough to help me improve my work.
- My supervisor clearly defines what he/she expects of me.
- My supervisor and I discuss how I can grow and improve.
- My supervisor listens well.
- My supervisor is accessible when I have a problem.
- My supervisor is a good problem-solver.
- My supervisor gives clear, helpful feedback about how I'm doing my job.
- My supervisor expresses appreciation of my work.
- My supervisor communicates clearly about work plans.
- I understand how my job fits into the "big picture" of the work at the setting.
- My supervisor is a strong advocate for me.
- My supervisor expresses appreciation for my ideas and comments.
- My supervisor is prepared for my supervision.

- My supervisor reviews what we agreed from the last supervision.
- My supervisor gives me appropriate notice for my supervision.
- I benefit from having supervision.
- I feel motivated after a supervision session.
- I understand the purpose of supervision.
- I feel my supervision is worthwhile.

What are the specific strengths you see in your supervisor?

How could your supervisor be a better supervisor?

Additional comments:

Signature:

Date:

Appraisal - record form - example

APPRAISAL – RECORD FORM

Worker's name:	Position:
Line manager undertaking the appraisal:	Date of appraisal:

Worker's understanding of the planned outcomes of the organisation and how he/she can contribute to their achievement.

Achievements since last appraisal – tasks, work programme and objectives.

TASK/OBJECTIVE	COMMENTS ON ACHIEVEMENTS AND ANY CHALLENGES/PROBLEMS Indicate if required standards reached, partly reached or not reached.

Key elements of 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 worker may have to help achieve good practice.

Agreed changes in the way the manager and worker will work together

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

Specific activities	How this has helped the individual carry out their tasks	How has this been of benefit to service users

Further training/development required

Specific activities	How this would assist the worker to carry out tasks	How this would be of benefit to service users

Future plans

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

Are changes to be made to:
Employee's job description?
Employee's work plan?

Key tasks and objectives for the forthcoming year (NB these must relate to the priorities identified in the annual strategic plan)

TASK/OBJECTIVE	TO BE ACHIEVED BY (date)

Other issues or comments

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

Signature and date

Employee's overall comments

Signature and date