



For better
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ANNUAL APPRAISAL

1. Introduction

- 1.1 Sheffield Mind's annual appraisal scheme allows for every employee to be appraised annually through a structured exchange of views relating to the job between employees and their line managers.
- 1.2 The annual appraisal aims to improve communication and enhance performance.

2. Objectives

- 2.1 Sheffield Mind's annual appraisal scheme has been designed to meet the following specific objectives:
 - To maintain high standards of performance.
 - To increase staff morale and motivation.
 - To identify how postholders can develop Sheffield Mind.
 - To provide information for planning.
 - To develop the relationship between the employee and their line manager.

3. The annual appraisal interview

3.1 An appraisal interview is a planned discussion between the line manager and the employee to review how the employee has carried out his/her job since the last appraisal. The discussion during the interview is to:

- Assess the employee's performance against targets and performance standards.
- Review progress and priorities.
- Resolve or identify resolutions to any problems in these areas.
- Identify strengths and weaknesses in relation to work performance.
- Provide an opportunity for both parties to discuss how well line management arrangements are working and ways in which way any difficulties can be addressed.
- Discuss future objectives and potential, together with training and development needs.



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- 3.2 An appraisal interview is not an opportunity for a manager to raise a problem for the first time. Poor performance must be tackled when it arises and through regular supervision.
- 3.3 An appraisal interview is not an opportunity to address disciplinary issues and does not form part of the disciplinary process. However, there may be some overlap in the issues discussed in both the appraisal scheme and the disciplinary process.

4. Principles of the scheme

4.1 Performance setting

Objectives for all staff are drawn up in work programmes based on Sheffield Mind's annual plan. These objectives will be agreed between managers and staff.

4.2 Assessing performance

The following method will be used to define levels of achievement:

- The required standard has been reached – yes, no or partly. A comment will be recorded to explain how this mark has been arrived at. Where performance has been above the required standard, this should be recognised in the comment. Where there are mitigating circumstances with respect to performance below the required standard, these will be recorded in the comment.

4.3 Feedback and information from others

It is a key part of the line manager's role to assess how well their staff are performing their job and in doing this they will have regard to performance measures where appropriate, direct feedback from other staff and their own observation and assessment of the quality of work.

Appraisees are encouraged to be open to feedback from others within the organisation, such as colleagues that they have strong functional links with or people to whom they provide a service. The reasons for feedback are:

- It can provide invaluable information on which to base staff development work.
- It is a practical demonstration that we want to provide a quality service and shows that Sheffield Mind wants to be an open organisation.



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- It provides information that can be used to form a view on an employee's performance.

In preparation for the appraisal interview the line manager should gather information and feedback from whichever sources are appropriate.

When using feedback to form a view about an employee's performance, the line manager must always be satisfied of the truth, relevance, validity and objectivity of the information received.

4.4 Reciprocal appraisal

Appraisees will be given the opportunity during the appraisal interview to give feedback on the line management process. This could include, for example, what is helpful and unhelpful in how the line manager is providing support and supervision to them, any areas which are either working well or which are a source of difficulty, and any ways in which the line management arrangement could be improved. A reciprocal appraisal is not an opportunity for a staff member to raise a problem for the first time. Difficulties should be brought up with line manager and addressed as and when they arise.

4.5 Objectivity

Annual appraisal should be seen by those involved as an opportunity for honest discussion. All feedback, observations and comments made in the course of the appraisal process should be objective and illustrated with examples. Feedback should be delivered with sensitivity and clarity at all times.

5. Annual appraisal scheme

5.1 Appraisal interviews will take place on an annual basis.

5.2 Exceptions to the above will be new employees or new post holders. These members of staff will normally have an appraisal at three months. Thereafter, they would follow the normal pattern of appraisal interviews.

5.3 Appraisal interviews are conducted by the employee's immediate line manager. However, in the event of a line manager being absent due to long term sickness or extended leave, their immediate senior will conduct the interview. In the case of the Chief Executive, the Chair of the Executive Committee, or a committee member to whom authority has been delegated by the Chair, will act as line manager. Where someone other than the immediate line manager is required to conduct the appraisal interview, they



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will form a view on the employee's performance by reference to supervision records and through discussions with others as appropriate.

- 5.4 The line manager will agree a convenient time for the meeting with the appraisee, giving at least two weeks' notice and will ensure that they have a copy of the appraisal report form.
- 5.5 The appraisee will use the appraisal report form to prepare for the meeting.
- 5.6 All appraisal interviews will take place in private and will remain uninterrupted, except in extreme circumstances.
- 5.7 Following the meeting the appraiser will complete the form, pass to the appraisee for comment then return copy to the appraisee and retain a copy. This report will be reviewed during supervision sessions.

5.8 Staff who are dissatisfied with the outcome of their appraisal interview can record any disagreements on the final appraisal form and can follow the grievance procedure if they feel that their disagreements have not been dealt with fairly.

6. Evaluation

On a regular basis, the Sheffield Mind Executive Committee will review:

- The consistency in the application of the procedure.
- Any trends that emerge across the organisation.
- The effectiveness of the scheme.

The committee will make recommendations for adjustments to the scheme as appropriate.

7. Records

The records of appraisal interviews will be kept in the appraisee's personnel file.



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Appendix 1

Annual appraisal scheme

Guidance for managers

1. Before the interview

Once a time has been fixed with the employee during the appraisal period, the following steps need to be taken:

- Consider the appraisee's performance since the last appraisal, consulting where appropriate with anyone else with responsibility for any aspect of the appraisee's work, and reviewing any special projects.
- Prepare the room and ensure that you are not interrupted.
- Make sure that you are in an open and relaxed frame of mind, and are well prepared.

2. During the interview

2.1 Create a relaxed atmosphere where open communication can proceed. Do not talk across a desk, arrange the chairs informally. Try to put the appraisee at ease by the use of positive body language e.g. smiling, nodding and appearing encouraging.

2.2 State the objectives of the exercise, explaining the procedure involved and how you wish to conduct the interview. Emphasise that the main purpose is to assess performance with the individual concerned.

2.3 Discuss the scoring system with appraisee.

2.4 Encourage the appraisee to talk about his/her performance, using open questions to generate discussion, probing and clarifying where necessary. Listen to the employee's views.

2.5 Ensure you are factual by giving examples rather than relying on your impression. Avoid holding the appraisee responsible for events beyond his/her control.

2.6 Discuss performance, praising for work well done and discussing where improvements are required and how these can be achieved. Try to maintain objectivity, avoid becoming defensive, showing anger or hostility.



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- 2.7 Summarise from time to time what is being recorded, and as far as possible, reach agreement on the wording.
- 2.8 Problems relating to conduct would normally be dealt with as and when they arise, and persistent offenders would ultimately go through the disciplinary procedures. Points of conduct will only be discussed where they affect performance.
- 2.9 Encourage the appraisee to give views on his/her self-development over the past year, discussing future training and developmental needs.
- 2.10 If the employee is disabled, are there further support, training or resources needed to enable the employee to develop and use their abilities?

3. After the interview

- 3.1 Finalise Form B of the report form to the appraisee, where possible, within seven working days.
- 3.2 If the appraisee disagrees with the notes, arrange to meet to consider the reasons for the disagreement. You may decide to change your rating/working or reiterate it. If the disagreement is not resolved, the appraisee may have it recorded on the record form.
- 3.3 The form should then be copied to the appraisee and a copy held on the personnel file.
- 3.4 Ensure that action identified is given a deadline and acted on, and that performance is reviewed during normal supervision sessions.
- 3.5 Where necessary, make recommendations for any appropriate amendments to the job description.



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Appendix 2

Annual appraisal scheme

Guidance for appraisees

1. Before the interview

- The appraisal interview is an opportunity for you to express your views on your performance and future development. It is also an opportunity to receive constructive feedback from your manager that will assist you in your work performance. Open communication and dialogue between you and your manager is therefore important.
- Your line manager will arrange with you a time to hold your appraisal interview and will provide you with an appraisal report form.
- You should allow yourself sufficient time to prepare for the meeting.
- Review your performance in relation to the performance objectives over the review period, noting any achievements and personal developments, and any areas you particularly wish to discuss.

2. During the interview

- You will be given time to express your views and concerns and to identify your training and development needs. You will be consulted in the drawing up of future objectives and targets.
- You will need to contribute to the meeting in order to get the most from your discussions. You will be encouraged to be honest but ensure that any criticisms you have are constructive and made with suggested solutions in order to progress the meeting. Be assertive and not aggressive.
- You should leave the meeting with a clear understanding of how you are doing and what is expected of you in the future in terms of objectives and development plans. If you do not understand something or require further clarification, ask. Where necessary, summarise points to check that you and your manager have the same understanding of the issue.

3. After the interview



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- Your manager will give you a copy of the completed appraisal report form as soon as possible after the interview. You will be asked to comment and sign it and a copy will be given to you. If you disagree with the form, your manager will hold a short meeting with you in order to consider your view. If you still disagree, you should register your disagreement in writing, which will be appended to the form.
- You and your manager will be responsible for any action identified during the interview.



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APPRAISAL FORM A

CONFIDENTIAL

JOB APPRAISAL FOR:

APPRAISER/S

DATE:

QUESTION	COMMENTS
1. How close do you feel you have come to meeting the goals/targets set at your last appraisal interview?	
2. Have you encountered any particular difficulties?	
3. How do you think your work has made a difference to Sheffield Mind as a whole and its services? Are there other ways in which you want to develop this contribution?	
4. What areas of work give you most pleasure?	
5. What areas of work give you least pleasure?	
6. On balance do you feel you have too much or too little work to do?	
7. Do you find it easy to	.



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identify work priorities?	
8. What did you learn from your work over the last year? How would you apply that learning to future planning?	
9. How far have you met the personal development goals set in your last appraisal interview (form D)?	
10. Can you think of any additional skills, knowledge or experience which could help you at work?	
11. How does the support/supervision you receive from your line manager help you to achieve your objectives? What else would help?	
12. Do you receive adequate information, co-operation and support from your colleagues?	
13. Do you have adequate resources (finance, staff, equipment) to perform your duties effectively?	
14. Do you feel you have adequate opportunities to participate in decision-making in the organisation?	



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15. Do you feel you know enough about the organisation's policies, procedures and structures?	
16. Do you feel you have enough understanding of outside factors - that might affect your work?	
17. How would you like your job to develop?	
18. Do you have any career plans that we can help you with?	
19. 16. Any other comments/ action points	
20. Comments of appraiser on above (if any)	

Signed (appraiser): Date:

Signed (staff member): Date:



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APPRAISAL FORM B
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JOB APPRAISAL FOR:

APPRAISER:

DATE:

	APPRAISER'S COMMENTS	ACTION POINTS
Progress on previous goals and targets set		
Workload		
Focus on Task/s		
Relations with colleagues		
Attitude to work		
General		



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Appraisee's comments on above (if any)		

Signed (appraiser):.....

Date.....

Signed (staff member):.....

Date.....



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Comment on progress by appraiser		
Comment on progress by appraisee		

Signed (appraiser):..... Date:.....

Signed (staff member):..... Date:.....



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APPRAISAL FORM D

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JOB APPRAISAL FOR

APPRAISER:

DATE:

PERSONAL & PROFESSIONAL DEVELOPMENT OBJECTIVES	HOW TO BE ACHIEVED	HELP REQUESTED FROM NAME	6 MONTH REVIEW
Any information & training that will helpful with respect to understanding equality and diversity issues and practice?			

Signed (appraiser):..... Date:.....

Signed (staff member):..... Date:.....