



STAFF SUPERVISION & APPRAISAL POLICY

September 2016

Document Control

Change Record

Date	Author	Version	Change Description	Approved / Quality Checked By & Date	Target Audience / Circulation	Document Review Date
20-01-16	David Mason	1			Children's Social Care	January 2017
29-06-16	Neil Holden	2	Questions resolved		Children's Social Care	January 2017
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Impact Assessment Record

Date	Type of Assessment Conducted (e.g. environmental, diversity & equalities, Human Rights Act 1998, Crime & Disorder Act 1998 & Children Act 2004)	Stage/ Level Completed (Where applicable)	Summary of Action Taken / Decision Made	Completed By	Impact Assessment Review Date
Date	Impact Assessment not required. Document content does not impact directly on gender, race, disabled people, sexual orientation, age, faith groups	n/a	No action required	Name	Review not required unless significant change to type of document content

Document Retention Period	Destroy 5 years after administrative use has concluded
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Introduction

The aim of this policy is to provide a framework for the one to one supervision of staff working for Darlington Borough Council Children's Social Care. This policy is aimed at Social Work staff and those working directly with children and adults within a social care setting.

The policy has been written to ensure it meets the needs of the services, the staff and their supervisors, regardless of the professional area in which they work.

Policy Statement

Darlington Borough Council aims to provide high quality services in consultation with, and responsive to, citizens, partners and other stakeholders.

Darlington Children's Social Care aim to provide appropriate, responsive, flexible and cost-effective services for the most vulnerable children and young people of Darlington and can only do this efficiently if the staff employed by the Council:

- Understand what is expected of them.
- Have the skills, knowledge, behaviours, values and attitudes necessary to carry out their role.
- Are fully supported in their work and managed effectively.

Effective supervision is one of the most important measures that we can put in place to ensure positive outcomes and quality services for the people who use the services provided by Children's Social Care. This policy sets out how staff can expect to be supervised and provides supervisors and managers with the key elements needed to supervise staff effectively.

Value Statement

Show respect for individuals: recognise and value the contributions of others; celebrate individuality and diversity

Be courageous: don't always reach for the easy answer; be prepared to challenge and stay tenacious/steadfast

Stay curious: be continually reflective and open to adapting how we work

What matters most is what works: be practical, flexible and outcome-focused

Set out clearly the standards of conduct performance and ethics that the regulatory bodies expect of the member. More information can be found by in the following links:

[Health and Care Professions Council](#) – Standards, Conduct, Performance and Ethics

Definition of supervision within the performance management framework

Individual performance management within Children's Social Care involves three elements; supervision, appraisal and a personal development plan:

Supervision – a regular one to one discussion between an individual member of staff and their line manager with the purpose of achieving certain professional, personal and organisational objectives. These objectives include competent, accountable practice, continuing professional development and personal support. Group supervision may also be utilised but must not replace the one to one discussion. When supervising individual cases it may be beneficial to conduct a joint supervision session between practitioners e.g. social worker & family intervention team worker.

Appraisal – an annual meeting, with an interim review six months following the completion of the appraisal, the aims of which are for the individual and their supervisor to:

- Identify what has gone well and what has not gone so well over the previous year.
- Set measurable objectives in line with service objectives for the coming year.
- Have the opportunity to identify learning and development to enable them to carry out their jobs better, both now and in the future.

Personal development plan – this is agreed during the appraisal process and is to enable the supervisor and supervisee to identify and evaluate learning that has taken place during the previous year and to plan learning and development opportunities for the coming year and should be reviewed in forthcoming supervision (reviewed at six months).

The supervision process is a key part of the performance management framework as outlined above. Discussions held and recorded during supervision will inform the appraisal process.

Knowledge skills and abilities

To ensure professionals are competent to undertake their role appraisal should include specific developments that are encompassed in the personal development plan.

The Knowledge and Skills Statement for [Child and family social workers](#) (DfE, 2014) should be used within the appraisal process to enable social workers to understand more clearly what is expected of them as practitioners. Practice Supervisors and Team Managers will be able more easily to identify whether social workers have the requisite knowledge and skills, and will therefore be able to identify and put in place the support and training needed for individual practitioners.

Scope of this policy

This policy applies to:

- All staff employed by Darlington Borough Council Children's Social Care, People Services whether on a permanent, temporary (including agency staff), full-time or part time basis.

The purposes of supervision

- 1. Maintaining and developing the quality of practice.** The overriding aim of supervision is to promote best practice by maintaining existing good practice and continuously striving to improve it.
- 2. Reflection** –provides the opportunity for a collaborative reflection between supervisee and supervisor that builds on the supervisee's use of their thoughts, feelings and values with regard to individual cases.
- 3. Professional development.** Supervision is about learning. It may also be about training needs but more often it is about learning from the many varied experiences within the job.
- 4. Role clarity.** Supervision presents an opportunity to discuss and clarify what is involved in a job and what is not.
- 5. Organisational objectives.** Supervision must be related to the core purpose of a job. Through clarifying and enabling individual contributions it assists the organisation in achieving its overall objectives.
- 6. Promoting a suitable climate for practice.** Supervision provides for the establishment of a purposeful and supportive relationship between supervisor and supervisee. This can enable the undertaking of often complex and emotionally demanding tasks within a supportive environment.
- 7. Communication.** Supervision should assist in providing a structure and vehicle for two-way communication between individual staff and the organisation both from top to bottom and vice versa.
- 8. Resources.** Supervision can provide a vehicle for discussions about resourcing issues and identifying ways in which some of these issues may be addressed.

Functions of supervision

The four main functions of supervision are:

- Performance management
- Learning and development
- Support
- Professional practice and organisational issues.
- Recordings of supervision

Frequency of supervision

All line managers/supervisors should ensure regular supervision within the following **minimum** timescales:

Children's Social Care

Role	Frequency
Service Managers	Monthly
Practice Supervisors/Team Managers/0-19 Co-ordinators	Monthly
Social workers	Monthly
Non-Qualified roles working directly with children	Monthly
Children's Residential Service staff	Monthly
Newly Qualified Social Workers	As a minimum weekly for the first 6 weeks then fortnightly until 6 months, monthly thereafter.

NB. These are minimum timescales. Line managers/supervisors will supervise staff more frequently as and when required.

Recording Supervision

The recording of supervision sessions is the responsibility of the supervisor.

Supervision of children's services cases (minimum frequency)

Children's case supervision should be fully recorded on the agreed case supervision form. Cases discussed within supervision will also be recorded as an observation within CareFirst. **NB.** New case recording system due to be introduced later in 2016 will need to be reflected in update to this policy.

All cases should have management oversight recorded on file within three days of case allocation/ transfer then as follows:

Type of case	Frequency
Child protection	Minimum of monthly
Child in need	Minimum of monthly
Fostering & adoption cases	Minimum of monthly
Troubled families case	Minimum of monthly
Early help cases	Minimum of monthly
Looked after children	Minimum of monthly
Private Fostering Arrangements	Initially four weekly then every 12 weeks
Legal Proceedings	Every four weeks
Supervision Order	Bi-monthly in first six months then three monthly

Personal Supervision Records

- A Checklist for Managers/Supervisors is attached as Appendix 1.
- An Individual Supervision Agreement Proforma is attached as Appendix 2
- A Personal Supervision Record Sheet is attached as Appendix 3.
- A Case Work Supervision proforma for use by Social Work staff is attached at Appendix 4.
- A Personal Information Form is attached at Appendix 5.
- Appraisal documents are attached at Appendix 6.

The Manager/Supervisor must adhere to the following standards of recording; this will be checked during the quality assurance process.

Confidentiality and Access

Supervision is a private but not a confidential process. This means that records are the property of the organisation, not the individual. From time to time supervisors will need to discuss the content of supervision sessions with others, for example, their own line manager. This should always be with the knowledge of the supervisee.

Access to supervision records should be controlled and all records should be locked away so that others who do not have a legitimate right to see the records cannot access them. Supervisees should be aware, however, that other than themselves and their supervisor others will, from time to time, access records. These might include:

- **Senior managers** – for quality assurance purposes.
- **Investigating officers** – e.g. for disciplinary purposes.
- **Inspectors** – e.g. OFSTED inspectors or Peer Reviewers
- **Performance staff** – e.g. for audit and quality assurance purposes

Storage and Retention

The Individual Supervision Agreement, the supervision records and personal information form will be kept on the supervisee's file held by the supervisor in a locked cabinet. Other key documents are also held with the supervision records. These will include appraisal documents, sickness documents and correspondence. (See Checklist for Managers, Appendix 1).

Where a member of staff transfers to another team or manager/supervisor within the service their records should be passed onto the new manager/supervisor.

When a member of staff leaves the council the supervision records should be forwarded to HR who will retain for five years after the member of staff has left.

Individual Supervision Agreements

An Individual Supervision Agreement (ISA) is important and should be developed at the first supervision session and updated at the start of each calendar year.

The purpose of the ISA is to establish a basis for which the supervisor and supervisee will work together during one to one supervisions. Establishment of ground rules should be through negotiation and should clarify the rights and expectations on both sides to create a safe, secure and effective supervisory setting. It is worth noting that when the supervision relationship breaks down, or is less satisfactory for either party, it is usually because of a lack of clarity or a mismatch of expectations from the outset.

An Individual Service Agreement proforma is attached as Appendix 2.

Quality Assurance

In order to be effective the supervision process requires monitoring and quality assurance arrangements.

The quality assurance process ensures that:

- The standards of supervision as outlined in this policy are being followed.
- Staff are being supervised professionally and effectively.
- Supervision sessions are being recorded
- Individual Supervision Agreements are being developed, reviewed and used.
- The supervision process promotes equal opportunities and anti-discriminatory practice.

Dispute/Conflict Resolution

Supervisees should be clear about whom they should contact if they feel the terms of their supervision agreement are not being met. How supervisees make a complaint and who to (a named manager) should be included in the Individual Supervision Agreement.

Supervisees should always discuss any complaints or dissatisfaction in the first instance with their manager/supervisor and endeavour to reach an agreement within the normal supervision process.

If resolution is not achieved by discussion with the supervisor the supervisee should raise the issue with their supervisor's line manager.

APPENDIX 1

SUPERVISION CHECKLIST FOR SUPERVISORS

Organisation of the personal file

The personal supervision files should be organised as follows:

- Section 1 Personal Information Record and Driver Declaration documents
- Section 2 Individual Supervision Agreement
- Section 3 Supervision records
- Section 4 Appraisal documents
- Section 5 Absence management
- Section 6 Communication

Expectations of supervisors

1. Personal Information Record

The following MUST be included in the Personal information Record and this section:

- The correct personal details of the supervisee.
- The DBS number, date the DBS was issued and the next renewal date.
- The HCPC number, the date the HCPC number was issued and the renewal date (if a registered social worker).
- The date the permitted driver's documentation was seen and date of renewal.
- Evidence of current and valid ID badge
- Driver declaration documents.
- ID documents.

2. Individual Supervision Agreement

- Individual Supervision Agreements must be renewed annually.
- All supervision dates for the next 12 months must be listed in the Individual Supervision Agreement.
- The date of the next appraisal date must be written into the Individual Supervision Agreement.
- The Individual Supervision Agreement must be signed and dated by both the Supervisor and the Supervisee.

3. Supervision records

- Supervisors must address workload management, support and training/development within each supervision session.
- All supervision records must be signed and dated by both the supervisor and the supervisee.
- Any action plan/capability agreements.

4. Appraisal documents

- An appraisal must be held annually and reviewed at a sixth month period (interim PDR).
- The appraisal document must be signed and dated by both the appraiser and the appraisee.

5. Absence management

- Copies of fit notes and absence management records.

6. Communication

- Copies of compliments/complaints, disciplinary information, training and development log/list of mandatory training requirements, job description/person specification, correspondence, and any other relevant information.

Agenda and structure

Formal supervision sessions should be structured with an agenda both parties have contributed to. Agenda items should be prioritised at the beginning of the session in order to make the most effective use of time.

Content

Supervision will cover:

- Performance management
- Learning and development
- Supportive functions
- Organisation and Professionalism

Anti-oppressive practice

Supervision should be based on anti-oppressive principles and should be sensitive to race, gender, disability, impairment, age, religion and sexuality.

All information between supervisor and supervisee will be treated with respect and in a professional manner.

Record keeping

All supervision sessions must be recorded by the supervisor and should reflect the agenda discussed with agreed actions, timescales and who is responsible. Where case supervision has taken place the service user initials and case ID number should be noted (in addition to completion of the formal case supervision record).

Supervision records should be typed or handwritten (as agreed between supervisor and supervisee) and the original retained on the worker's supervision file with a copy of the record given to the supervisee.

The supervision record should be signed by both parties either at the end of the session or the beginning of the next.

Copies of the supervision records will be available to both the supervisor and the supervisee and can also be accessed by the supervisor's line manager or any other person with a reason to access the supervision record as outlined in the Supervision Policy

Cancellations

In the event that a scheduled supervision session has to be cancelled by either party, it will be re-scheduled at the point of cancellation. The session should be re-scheduled, if possible, to take place **within 5 working days** of

the original booked session. If the cause of the cancellation is the sickness absence of either party then another supervision session will be booked with 5 working days of the person's return to work.

In the event the supervisor is absent from work for more than two weeks unplanned leave, it is the responsibility of the supervisor's line manager to make alternative supervision arrangements.

Disagreements

Areas of disagreement between supervisor and supervisees will be recorded on the supervision records.

Areas of disagreement that cannot be resolved between supervisor and supervisee may be referred to the supervisor's line manager.

If the supervisee remains dissatisfied with the supervisor's response, they should contact the supervisor's line manager or HR for further discussion.

Review of supervision

Supervision sessions – the process, content, length, frequency, format and style – should be reviewed at least annually.

Agreement

We agree that supervision will be facilitated in accordance with the Darlington Borough Council Children's Social Care Supervision Policy.

Signatures:

Supervisee:

Supervisor:

Date:

APPENDIX 3

PERSONAL SUPERVISION RECORD

Staff member:

Job title:

Supervisor:

Job title:

Date of session:

Proposed agenda items to be discussed
<ul style="list-style-type: none"> • Support • Review of last supervision and actions • Performance Management • Professional practice and organisational issues • Learning and development • Other

Supervision File Checked?	Yes/No	Initial:

Agenda item	Comments and Agreed Actions	Timescale
Review of last supervision and actions		
Support		

Performance Management		
Professional practice and organisational issues		

Learning and development		
Other		

Signature of supervisor:

Signature of supervisee:

Date:

Date of next meeting:

APPENDIX 4

CASE WORK SUPERVISION PROFORMA

NAME OF PERSON IN RECEIPT OF SERVICES	CASEMANAGEMENT SYSTEM ID.
NAME OF ALLOCATED WORKER	NAME OF SUPERVISOR
DATE OF SUPERVISION	

To be completed by practitioner prior to supervision session:

CASE SUMMARY (Bullet point key updates/significant events since last supervision session)

PRACTICE/SOCIAL WORK INTERVENTIONS (Practitioner to reflect on the outcomes to be achieved, what has been the impact of their involvement, what is preventing case from progressing, what can they do differently)

To be completed by supervisor during supervision session:

ACTIONS FROM PREVIOUS SUPERVISION

ACTIONS TO BE ADDRESSED PRIOR TO NEXT SUPERVISION

CASE AUDIT ISSUES (consider has there been a recent case file audit? any actions required?)

SIGNATURE OF ALLOCATED WORKER:

SIGNATURE OF SUPERVISOR:

DATE OF NEXT CASE SUPERVISION:
(In line with minimum requirements)

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APPENDIX 5

PERSONAL INFORMATION FORM

EMPLOYEE DETAILS			
YEAR			
NAME			
TEL. NO.	Home:	Personal Mobile:	
ADDRESS			
NEXT OF KIN (relationship)			
NAME			
CONTACT NO.			
Employment Start Date			
DBS Clearance	Date Checked:	DBS Number:	No renewal required
HCPC Registration No.	Date Checked:	HCPC Number:	Date for Renewal
Driving Licence Checklist	date completed:		
ID Badge seen and copied and expiry date checked			
NOTES			
MANAGER'S AUDIT	DATE	COMMENTS	SIGNATURE
Drivers Monitoring Form Completed:			
Supervision File Checked by Line Manager:			
Issues to be addressed by:			