

CLYDESDALE HOUSING ASSOCIATION LIMITED

Policy: **Staff Appraisal Policy**

Date: **7 December 2022**

Lead Officer: **Management Team**

Review Date: **26/04/2025**

Standard 5 The RSL conducts its affairs with honesty and integrity.

Guidance 5.1 The RSL conducts its affairs with honesty and integrity and, through the actions of the governing body and staff, upholds the good reputation of the RSL and the sector.

5.2 The RSL upholds and promotes the standards of behaviour and conduct it expects of governing body members and staff through an appropriate code of conduct. It manages governing body members' performance, ensures compliance and has a robust system to deal with any breach of the code.

5.3 The RSL pays due regard to the need to eliminate discrimination, advance equality and human rights, and foster good relations across the range of protected characteristics in all areas of its work, including its governance arrangements.

5.4 Governing body members and staff declare and manage openly and appropriately any conflicts of interest and ensure they do not benefit improperly from their position.

5.5 The governing body is responsible for the management, support, remuneration and appraisal of the RSL's senior officer and obtains independent, professional advice on matters where it would be inappropriate for the senior officer to provide advice.

5.6 There are clear procedures for employees and governing body members to raise concerns or whistleblow if they believe there has been fraud, corruption or other wrongdoing within the RSL.

5.7 Severance payments are only made in accordance with a clear policy which is approved by the governing body, is consistently applied and is in accordance with contractual obligations. Such payments are monitored by the governing body to ensure the payment represents value for money. The RSL has considered alternatives to severance, including redeployment.

5.8 Where a severance payment is accompanied by a settlement agreement the RSL does not use this to limit public accountability or whistleblowing. The RSL has taken professional legal advice before entering into a settlement agreement

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1.0 INTRODUCTION

The Association wishes to establish and operate an effective staff appraisal system to:

- review and evaluate performance and training;
- agree objectives and responsibilities for future performance;
- identify training needs;
- improve communication.

The Association has identified the staff appraisal system as a key stage in the business planning process. It is envisaged that the staff appraisal system, within the overall business planning cycle, will aid the Association in identifying and meeting priority training needs and be able to demonstrate value for money from our training activities.

The system is designed to improve communication within the organisation and emphasise the role of managers in supporting and developing staff and the role of staff to develop themselves and others.

2.0 EQUAL OPPORTUNITIES

As an employer, Clydesdale Housing Association encourages equality of opportunity. In particular the observance of equal opportunity requirements as specified in the Equality Act 2010.

We do not discriminate against any member of staff in any way either directly, indirectly or by association because of their age, disability, gender identify (reassignment), marriage and civil partnership, pregnancy and maternity, race, religion or belief, sex and sexual orientation

3.0 STAFF APPRAISAL POLICY

3.1 Principles of the Staff Appraisal Process

Clydesdale Housing Association has agreed to operate an appraisal system. It should be used not only to appraise staff, but also to evolve a set of standards against which each member of staff's performance can be measured. It is recognised that a good appraisal system will improve the overall management of the Association.

The Association is aware that the operation of an appraisal system within a small organisation needs to be tackled with sensitivity. Consequently, the Association is committed to maximising consultation with staff and their representatives. It is recognised that all staff must be involved if the system is to work in the long term. The objectives of carrying out formal appraisal and the effect for individuals concerned must be made clear to all.

Just as the Association uses certain performance indicators in the fields of Finance, Housing Management and Maintenance, so too should the performance of staff be reviewed. Working relationships and work

performance will be improved if all members of staff know the standards expected for each job and how these can be achieved. Regular reviews will provide an opportunity to review job descriptions and to consider potential for further training and prospects for promotion where appropriate/possible. The appraisal process will complement the Association's approach to performance management.

3.2 *Employees' Needs*

There are several basic questions to which individuals need to know the answer and which are not always fully answered in day to day working relationship:

- Who is my manager and to whom am I accountable?
- What is my job and what functions am I expected to perform?
- What standards are expected of me and how will I know I am performing satisfactorily?
- How am I doing in relation to those standards?
- Where do I go from here and what is my potential?
- How do I get there and what training do I need?

An appraisal system should give employees the opportunity to discuss such issues with their appraiser and the system will also form part of the continuous setting of objectives and review process. **It should particularly ensure that confidentiality is strictly observed in accordance with agreed procedures in order to encourage free discussion between the appraised and the appraiser.**

3.3 *The Association's Needs*

The Association's greatest resource is its staff and it is therefore essential that performance is monitored. The existence of a formal appraisal system does not mean that any senior staff member and/or the Chief Executive or the Committee cannot point out and correct poor performance and give praise as and when due. A formal appraisal does give the Association the specific opportunity to direct attention to staff as individuals and to consider each person's overall performance, future development and training needs. Information on training needs assists in planning the Association's training activities and training policies. Comments and suggestions by staff can also be invaluable in improving the use of resources and the management of the organisation.

3.4 *Appraisal Training*

To be successful, it is essential that all those participating in the appraisal process are properly trained. Suitable training will therefore be provided prior to the implementation of the appraisal system and on a continuing basis and following personnel changes.

4.0 THE APPRAISAL SYSTEM

4.1 Requirements of the System

An appraisal system should assess an employee's performance against standards for the job and set goals for future achievement. To be successful, the appraisal system must ensure that the individual knows:

- their responsibilities and entitlements in respect of the appraisal system (see Appendix 1);
- that appraisal is based on whole performance over a period (usually twelve months) rather than single incidents;
- the standards against which performance is being monitored;
- that the aim is to develop and improve performance and not criticise destructively;
- that the employee has the chance to express their views;
- that training needs identified and areas where improvement in performance is required, will be discussed and agreed;
- that a note of the matters discussed and agreed action to be taken will be recorded in a suitable form, normally in the personal file and that the employee should be given the chance to see their appraisal form and record comments in the case of a disagreement;
- that quarterly review meetings are held between appraisals in order to monitor progress in implementing the agreed action and to assist with the achievement of agreed objectives.

4.2 The Appraisal System

The attached flow chart (Appendix 2) outlines the appraisal system adopted by the Association.

4.3 The Appraisal Meeting

As with all meetings, the success or failure of an appraisal meeting will depend largely on the preparation of both the staff member and their line manager. The staff member will be notified of the appraisal meeting by their line manager with at least two weeks notice. The staff member should be given enough time to prepare for the meeting - preparation should involve a consideration of:

- Job description;
- Business Plan and Departmental/Individual Objectives (current and future);
- Performance progress reports;
- Training Plans - Organisational & Individual;
- Previous training evaluation documents;
- Last Appraisal Form.

The staff member should know why the meeting is taking place and understand its role in the overall business planning framework.

4.4 The Appraisal Form

The Appraisal Form (Appendix 3) is designed to be issued to the line manager and the staff member at least two weeks before the interview is due to take place. This will give both parties time to consider the questions on the form and to prepare their answers prior to the start of appraisal meeting.

At the appraisal meeting the form will be completed jointly by both parties. After a period of 2 days, both parties should meet again to briefly discuss and agree the outcome of the meeting. The form should be signed by both parties at this point.

The Appraisal Form along with the appraisal interview will be dealt with in confidence. The form will be seen only by the staff member and their line manager (although, a sample of forms may be selected by the Chief and Depute Chief Executive for audit purposes to ensure that the appraisal process is being implemented consistently – see Section 4.9 *System Audit*). The Association will from time to time conduct an audit of the appraisal system in order to ensure that the system is being implemented consistently across the organisation.

The form, once completed and signed, will be kept on the personnel file of the individual staff member in a secure place. The staff member will be provided with a copy of the completed form.

4.5 Who Is Involved in The Meeting?

The person carrying out the appraisal must have a direct influence over the employee's future and be capable of implementing any recommendation arising from the appraisal. In practice, line managers will carry out the appraisals. The Chief Executive will be appraised by the Association's Office Bearers. The Chief Executive's quarterly review meetings will be conducted by the Chairperson.

4.6 Arrangement of Meetings

Ideally, a period of no more than 60 minutes should be allowed for each appraisal, although line managers may find the actual time required varies according to their own staff and the level of seniority and the nature of the person they are meeting with. It is important that the time allocated should be kept clear of interruptions and the meeting carried out in an atmosphere as far removed as possible from the normal problems and pressures associated in the day to day running of the office.

4.7 Post Meeting Arrangements

All completed and signed appraisal forms will be filed in the individual's personnel file with a copy passed to the individual.

In the event that a disagreement arises between the line manager and staff member which cannot be left and/or resolved at that level, the procedure will be:

- (a) reference to next tier in staff structure until this is exhausted;
- (b) reference to Staffing Sub-Committee;
- (c) reference to formal grievance procedures involving the Union if still unresolved.

4.8 Follow up to Appraisal

It is important in the follow up to an appraisal that problems, suggestions or requests are considered carefully and tackled if necessary or, when this is inappropriate, an explanation given of the reason for non action. It is recognised that failure to follow up an appraisal will damage the employee's confidence in the whole process.

It is also recognised that the entire appraisal system should be monitored and reviewed and modified as required.

4.9 System Audit

The Association will from time to time conduct an audit of the appraisal system in order to ensure that the system is being implemented consistently across the organisation and Clydesdale's equalities and diversity principles are being upheld. The Chief Executive and Depute Chief Executive will conduct the audit.

The Audit process will involve the Chief Executive and Depute Chief Executive examining a sample of staff appraisal forms and interviewing the staff involved in order to obtain their views on the process. Any inconsistencies in implementing the system will be discussed with the staff involved on a confidential basis. Any subsequent areas of personal development required will be incorporated into the appraisal system.

A report will be submitted to the staff team and the Management Committee showing the Association's achievements in implementing the staff appraisal system against its aims as detailed previously. A review of the system's policy and procedure will also be carried out at this time.

5.0 TIMETABLE

It is generally held that appraisals should be carried out on an annual basis at a time when the majority of staff are not about to commence their main period of annual leave.

It is therefore agreed that the appraisal process will be conducted in March/April. Thereafter, a timetable of quarterly review meetings will be drawn up. Performance against these timescales will be monitored via Clydesdale's performance management framework.

6.0 General Data Protection Regulations

Any information that we hold regarding an individual must be treated lawfully and correctly in line with the safeguards outlined in the General Data Protection Regulation 2016 (GDPR) which requires data to be:

- lawfully, fairly and transparently processed
- processed for limited purposes
- adequate, relevant and limited to what is necessary in relation to the purposes for which it is processed
- accurate and kept up to date
- kept no longer than the period necessary and
- kept securely against unauthorised or unlawful processing and protected against accidental loss, destruction or damage.

The processing will be carried out in a way that ensures compliance with the rights of data subjects, including:

- the right to be informed
- the right of access
- the right to rectification
- the right to erasure (so far as applicable)
- the right to restrict processing
- the right to data portability (so far as applicable)
- the right to object to processing (including profiling); and
- the right not be subject to fully automated decision-making including profiling.

Further information is available by viewing the Association's Privacy Policy.

7.0 Review Period

We will review the Policy every three years or sooner if required by statutory, regulatory or best practice requirements.

Approved by the Committee of Management on: 7 December 2022	
Signed: Secretary/Chairperson	Signed: Staff Member

Appendix 1 – Staff Responsibilities and Entitlements

1. Responsibilities

A) Senior Staff Team have a responsibility to:

- Demonstrate commitment to develop all staff to achieve our organisational objectives;
- Identify broad development needs in relation to the Association's Vision and Strategic Objectives;
- Allocate and manage resources for staff development (financial and human resources);
- Evaluate the effectiveness of the staff Training Plan in consultation with the Staff Team and Management Committee;
- Develop and maintain contacts with external agencies which can support the professional and personal development of staff;
- Demonstrate commitment to developing staff;
- Identify and support the development needs of staff in accordance with individual, team and organisational needs;
- Undertake annual staff appraisals with all members of your Department, thereafter, conduct quarterly review meetings in order to monitor progress with objectives and training/development;
- Recognise the achievements and progress of staff.

B) All Staff

As a member of the Association's staff you have a responsibility to:

- Play an active and positive part in your own staff development;
- Contribute to identifying your training needs in line with the Strategic and Operational Objectives of the Association;
- Maintain records of participation in all forms of staff development activity for the purpose of reviewing and planning and evaluating your development and training needs;
- Assist other staff members with their own development.

2. Entitlements

All Staff (including part-time and temporary)

As a member of staff in Clydesdale Housing Association you are entitled to:

- Development and training to enable you to carry out your role competently and confidently and to develop your potential;
- Annual staff appraisal meeting with your manager: your training/development needs will then form the basis for the annual staff Training Plan;
- Quarterly review meetings with your manager to monitor progress with objectives and training/development;

- Copy of your Appraisal Form for recording and planning activities to help meet identified needs;
- Time and attention when required to discuss your development with your manager;
- Suggest ideas and give feedback on staff development issues and activities (to your manager or directly to the Association's Chief Executive);
- Access to staff development/training opportunities relevant to your post and/or to the Association's Objectives.

3. Newly Appointed Staff

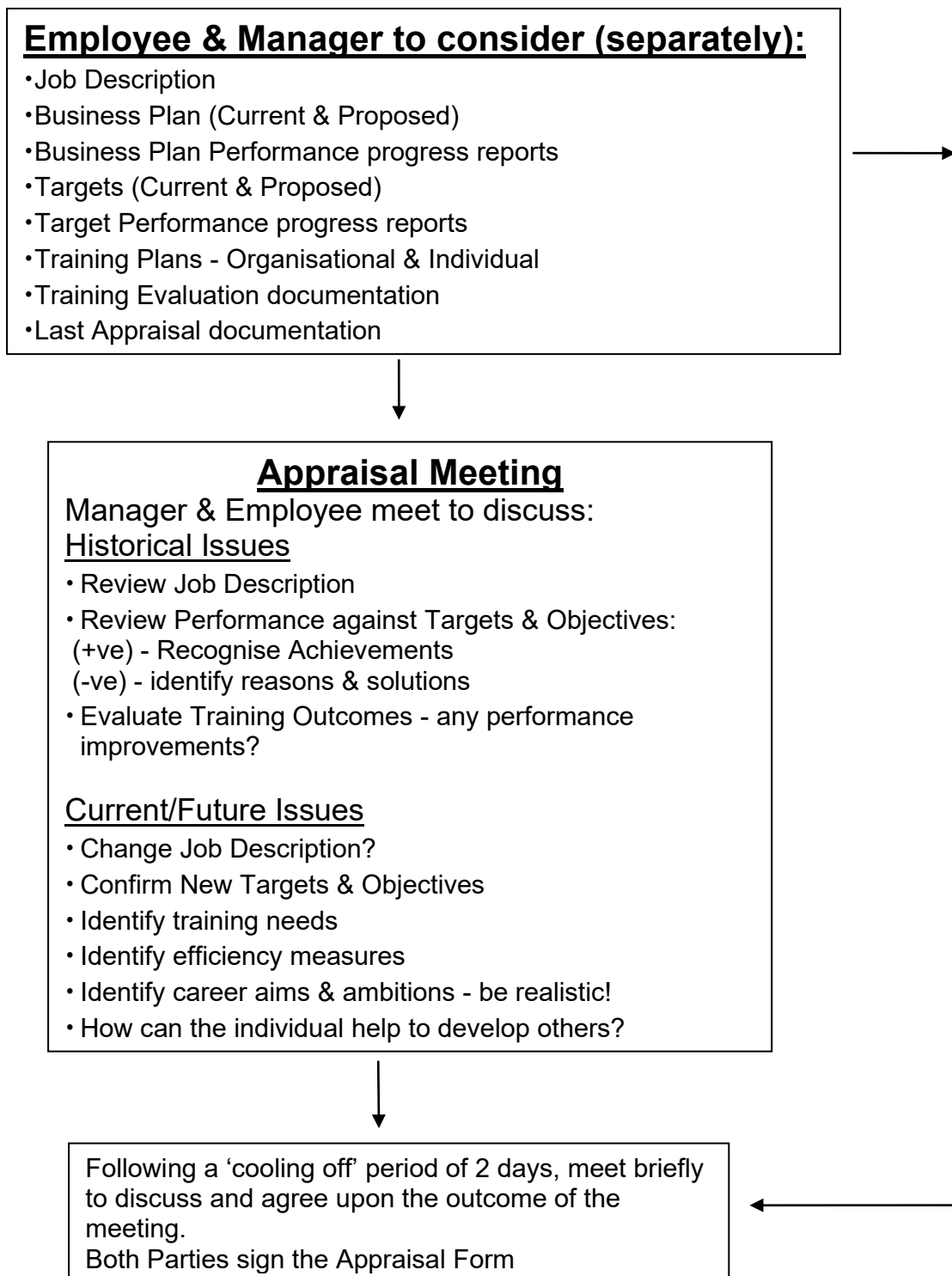
A) As a Senior Staff Team Member, you have a responsibility for staff development at Departmental levels to:

- Plan and organise induction programme for new staff;
- Assist other line managers in planning and co-ordinating staff development/training activities;
- Provide ongoing advice, information and support to staff in respect of their development needs.

B) As a newly appointed member of staff you are entitled to:

- A planned induction programme which will offer support to help you adapt to your new situation as quickly and effectively as possible.

Appendix 2 Appraisal Flowchart



Appendix 3 – Appraisal Form



STAFF APPRAISAL MEETING

Appraised:	Appraiser:
Job Title:	Job Title:
Date of Meeting:	Location:

Pre-Appraisal Preparation

How has your job changed since your last appraisal? Use your Job Description to check this. Think about any major differences in the work you do now, compared with your job at your previous appraisal. Make a note here if your Job Description needs to be changed and how. What duties on your current Job Description need to be deleted, amended or added to?

What objectives and targets did you agree last year? Write the objectives and targets down here as they were agreed, or as amended during the year	Have you achieved these objectives and targets? If you met the objective/target say so. If you did not, note the factors which hindered you (include any training that was missed) and what you still have to do to achieve the objective/target.

Creativity & Innovation

What Independent Individual Learning (IIL) activities did you pursue last year?

n/a

Please explain the reason(s) for pursuing these IIL activities.

What was the outcome of your IIL activity?

(a) To the organisation

(b) To you individually

Were there any barriers to your IIL? If so, please provide details.

STAFF APPRAISAL MEETING

The Meeting (I)

<p>Job Description Agree the changes to be made to the job description and when the new Job Description will be issued.</p> <p>Changes:</p> <p>Date to be issued:</p>

Your individual objectives and targets for the next 12 months. Write the objectives and targets down here including any element from last year's objectives and targets still to be completed.	What organisational objective or strategic objective does this directly relate to? State exactly what objective from the Business Plan will be influenced by achieving the individual objective.

<p>Comments</p>

The Meeting (II)

What training needs arise as a result of objectives agree?

Individual Objective Number <small>(from page 3)</small>	Describe the training need	Date training to be complete	Who will provide the training	Estimated cost of training

Individual Independent Learning. (IIL)

Please provide details of the IIL activity you would like to pursue in the period ahead.

What outcomes do you expect from activity for?

(a) the organisation?

(b) you individually?

Line Manager's Comments:

How have you and your line manager performed against Clydesdale's Behaviours? (you).

(Line Manager)

Do you have any personal development requirements against the Clydesdale Behaviours?

Your Future Think about how you would like to progress within CHA and how your strengths could help your career while improving the business.

Signed by Appraised:

Signed by Appraiser: