

A Manager's Toolkit:

How to develop your workforce



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Who is this toolkit for?

This Manager's Toolkit: How to develop your workforce is aimed at both those who are new to management experience and those that have management and wish to refresh or enhance their skills.

It is for existing and new managers in the advice sector who frequently 'fall' into managerial positions with little or no training or context to help support them in their role. Often they will learn on the job, by doing than through a systematic managerial learning framework.

Within the Manager's Toolkit there are two main parts:

1. A **workforce development awareness section** that highlights some of the key issues that affect the advice sector now, and possibly in the future, such as skills gaps, recruitment and retention difficulties and lack of succession planning
2. A comprehensive and **practical toolkit** containing a range of resources and tools to help managers improve how their workforce is developed.

Why has it been developed?

This resource has been developed in response to identified people management skills and knowledge gaps among managers. The resource responds to these issues and aims to help managers to better develop their workforce.

What should it assist you with?

Overall, the Manager's Toolkit aims to "raise awareness among advice centre managers of what the various workforce development issues are for the sector and how this affects their organisation".

It will help to assess skills/ competencies assessment and enhance these for managers to use in advice centres.

Who has developed it?

This has been developed by Working Together for Advice, which is a partnership project that provides a range of support services to independent advice centres across England.

Advice Services Alliance is leading the project on behalf of a consortium comprising five of its member networks: AdviceUK, Age Concern England, Citizens Advice, Law Centres Federation and Youth Access.

The overall aims of the project are to:

- give more people more opportunities to get advice
- further improve advice quality
- demonstrate the value of advice to funders and the wider community



Introduction

- improve the efficiency of advice services
- build the capacity of the advice sector.

The workforce development and training workstream aims to develop a coordinated approach to workforce development and training by addressing identified needs across the advice sector. The workstream's aim is to put the sector in a better position to attract and retain staff through providing appropriate and sustainable training, a clear qualifications framework and better managerial support.

Purpose of the resource and its structure

This manager's toolkit provides both theoretical and practical guidance and information about how to develop and improve your workforce. It looks first at a number of workforce development awareness issues such as recruitment and retention of staff in the sector and issues affecting its future. The toolkit contains a range of practical resources and tools to help managers improve how their workforce is developed.

Overall, the toolkit will enable you to link the theory of workforce issues to your practice and have access to various tools and resources that are designed to help you review and make improvements to your organisations current and future workforce practices.

The resource has been developed in consultation with managers who attended training on the contents of the Toolkit in 2009. Look out for Top Tips and Good Practice Checklists throughout.

Our thanks to Advice Centre Managers that attended the training and contributed to the Toolkit in Birmingham, Leeds, London, Oxford and Sheffield.



Introduction

Workforce Development Awareness - the issues facing the advice sector workforce



Workforce Development Awareness - the issues facing the advice sector workforce

Whilst the advice sector is clear about the important contribution it makes to the lives of individuals, less is known about the current and future development needs of the workforce that provides such crucial services.

Much of what is now known has been identified through several pieces of research work, such as:

- Advice Forward: developing skills for the future, 2006
- 2007 Voluntary Sector Skills Survey
- Third Sector Skills Research, 2008.

The research shows that the sector operates in a constantly changing external environment. It faces short term funding and a range of other issues, including:

- Skills gaps and shortages
- Recruitment and retention difficulties
- Barriers to accessing training and education/lack of career progression in parts of the sector
- Lack of succession planning for an ageing workforce.

The Manager's Toolkit: How to Develop your Workforce aims to respond to a range of issues these by providing managers with practical information and guidance on how to improve and develop their workforce.

Skills gap and shortages

The research identified management, mentoring and coaching as key skills gaps within the voluntary sector, and people management was highlighted as one area where the gap was considered greatest.

The Advice Forward report also highlighted a lack of applicants with suitable skills as being a major problem in relation to recruitment. This problem was echoed in the 2007 Voluntary Sector Skills Survey.

Recruitment and retention difficulties

There are significant difficulties regarding recruitment and retention in the sector, including:

- a general lack of applicants
- a lack of applicants with suitable experience and qualifications
- a priority lacking area was lack of applicants with suitable skills.

Other issues include a high turnover of staff for a number of advice centre organisations.

Retention also poses a problem, for the following reasons: unattractive salary, lack of career development opportunity, work pressure and having to travel too far.



Workforce Development Awareness - Issues facing the advice sector workforce

Barriers to accessing training and education/lack of career progression in parts of the sector

Key issues for the Not for Profit sector were lack of funding security and funders' reluctance to pay for capacity building. This means limited resources available for training and development.

In terms of career progression, research identifies that the workforce is not professionally well qualified in advice, and parts of the sector show low levels of membership of professional bodies and associations where they can access relevant training and development.

Flexible training provision, alternative ways of delivering training and taking into account the diverse learning needs of learners are suggested ways of responding to training and career barriers in the advice sector.

Clearer and more coordinated career paths are required to make the sector a more attractive and sustainable place to work.

Lack of succession planning for an ageing workforce

The issues of high staff turnover, skills shortages and recruitment difficulties all impact on advice centres service delivery. This makes the sector less able to increase their capacity, and makes succession planning less certain.

The sector has an ageing workforce, as evidenced in the Advice Forward report.. If it is to change this profile then much needs to be done to make it an attractive option for new staff who need "a recognised professional status of advice work outside of the traditional solicitor framework". (Advice Forward, 2006, p.37 4.2.8)

How this toolkit can help

Research points to a more co-ordinated and strategic workforce development programme as the solution to these problems and access to more resources to respond to these issues.

This toolkit forms a part of a solution to help managers improve their skills and knowledge around workforce issues and facilitate better access to training and development of staff by addressing a range of topics and issues. Managers can use it to strengthen and build their workforce in terms of better recruitment, alternative training models and better planning for workforce development from the outset so it becomes intrinsic rather than an afterthought.



Workforce Development Awareness - Issues facing the advice sector workforce

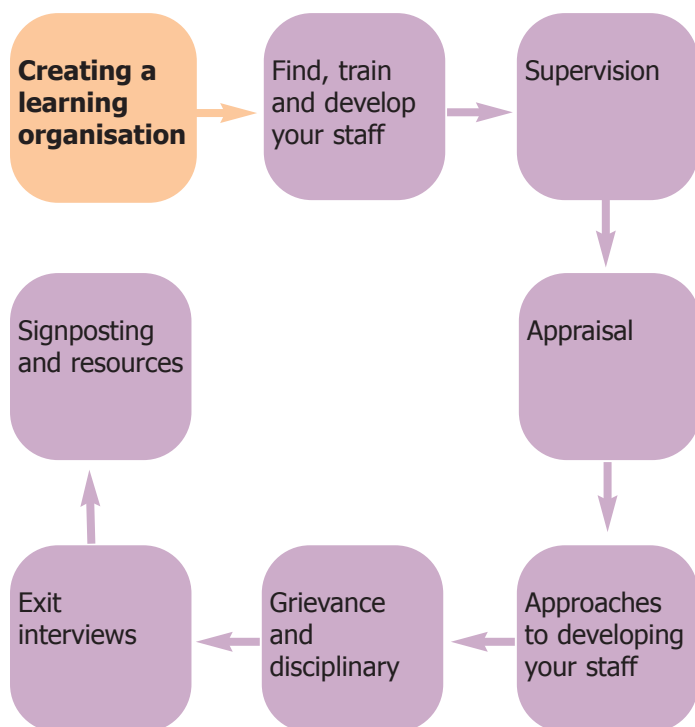
Competency Assessment Toolkit



Section 1: Creating a learning organisation



1. Creating a learning organisation



This section will explore the following topics:

- What is a Training Needs Analysis (TNA)?
- How you can carry out a TNA
- How to link workforce development to the strategic planning process
- How to link workforce development into a funding bid

This section highlights the intrinsic relationship between strategic planning for your organisation and developing your workforce. Neither can be effectively sustained without the support of the other.

It is vital to consider the links between developing your workforce and the strategic planning you undertake for your organisation in order to strengthen, maintain and build the skills and confidence of your workforce, which in turn impacts on the quality of services you provide.

What is a Training Needs Analysis (TNA)?

A TNA is one part of the Training Cycle. There are two parts to a TNA. The first part is identifying that a situation requires further investigation. The second part is the in-depth analysis which identifies the gaps and solutions to the workforce's development needs.

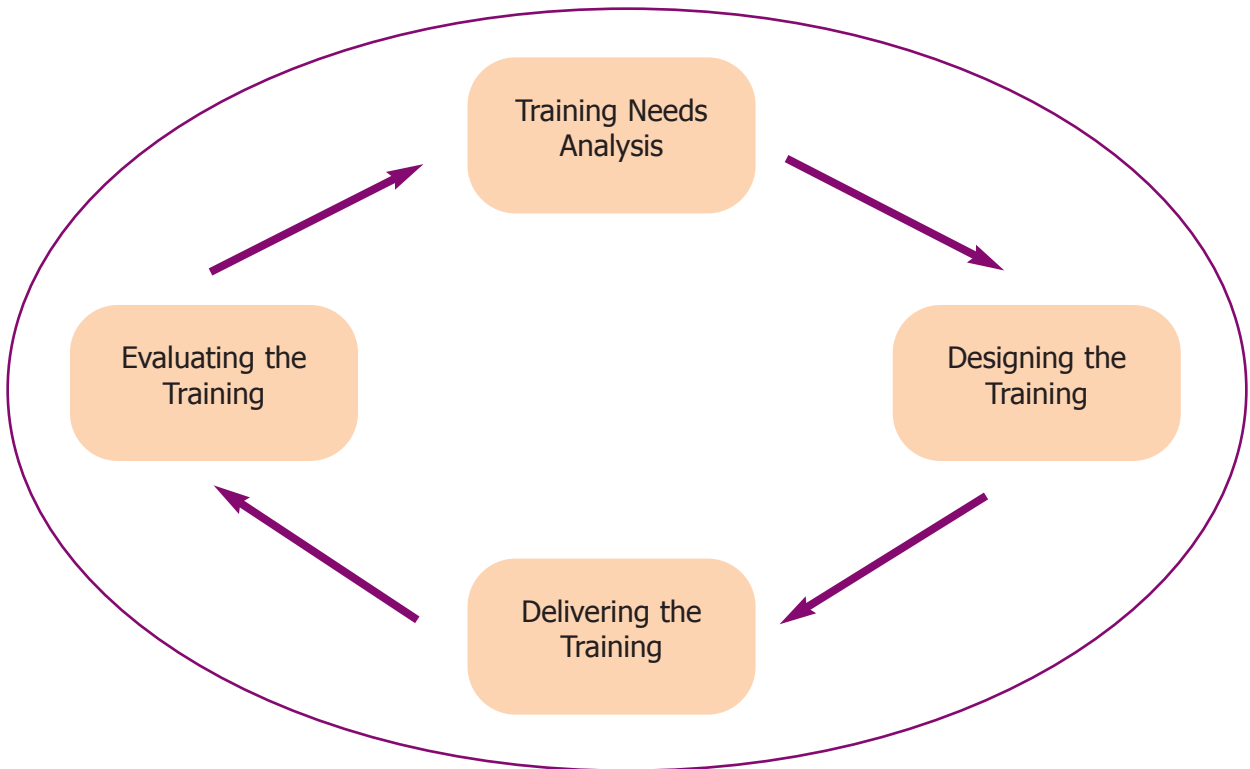
! Top Tip

Remember: Planning for training should begin at the strategic planning stage rather than being an afterthought.



Section 1: Creating a learning organisation

Diagram 1 - The Training Needs Analysis Cycle



A TNA uses a method or range of methods to identify workforce development needs and solutions, of which training can be one possible solution. The purpose of a TNA is to:

- evidence skills gaps within the workforce to learners and management
- identify relevant workforce development solutions
- underpin and support the strategic direction of the organisation.

The different levels of a TNA

A training needs analysis can be conducted at four levels; person level, job level (for either a group or an individual), department level or organisation level.



Section 1: Creating a learning organisation

Diagram 2: Boydell's TNA Focus (1983)

Level	Areas TNA can assess
Organisational	<ul style="list-style-type: none"> • Strategic priorities for the organisation • Operational priorities for the organisation • Competition • Technology • Legislation
Department	<ul style="list-style-type: none"> • Department priorities • Team strengths and weaknesses • Legal and systems changes
Job	<ul style="list-style-type: none"> • New skills or knowledge
Person	<ul style="list-style-type: none"> • Tackle areas for development • Assist career progression • New skills or knowledge

This section focuses on how to conduct an organisation TNA.

How to conduct an organisational TNA

Before choosing your methods for your organisational TNA, you need to consider the following:

- **What has triggered the TNA?**

As previously outlined, the purpose of a TNA should be to evidence skills gaps, identify solutions and support the strategic direction of the organisation. Organisations should carefully consider any internal or any external factors might have triggered the use of a TNA to address inappropriate factors e.g. redundancy.

- **What are your organisation's strategic priorities?**

You need to have a clear idea about what your organisation's strategic priorities are in the immediate and the longer term. Your choice of TNA methods should allow you to establish if there are any skills gaps which will prevent or hinder you achieving your short term strategic priorities, and allow you to anticipate where there might be skills gaps in the future that might prevent you from reaching the strategic priorities you are working towards over the next three to five years. The TNA methods should also trigger ideas about potential workforce development solutions.



Section 1: Creating a learning organisation

- **What are your organisation's operational priorities?**

As with your strategic priorities it is essential to have a clear understanding of what your organisation's operational priorities are. The targets your agency has e.g. client groups to work with, number of sessions delivered etc., will impact on your choice of TNA method. For example, do you need to increase productivity, assess legal knowledge or analyse how staff members approach equality and diversity and how they work towards assessing and meeting the needs of diverse clients.

- **What types of roles are present in your organisation?**

The types of roles that you have in your organisation will impact on your choice of methods and it might not be relevant to apply a blanket method across all roles within your organisation. Some methods will be more suited to roles that change regularly e.g. agency managers and some methods to jobs that have specific tasks and activities that are central to their role e.g. reception staff.

- **What is the culture of your organisation?**

When selecting the method(s) to use in your organisational TNA you will need to consider whether they fit with the culture and ethos of your organisation. A TNA method should be in-depth and thorough and look to provide constructive feedback where appropriate to individuals. Whilst it can challenge existing practices or procedures you should consider whether the method you have selected is appropriate in terms of size of organisation, its aims and values.

In addition, you should assess the previous experience of both the organisation's and individuals experience of TNAs. Has it been good or bad? You will need to clearly explain: the purpose of conducting a TNA; what it is hoping to achieve; how the information will be used; what individuals can expect from the method(s) that will be used; and what the impact on them will be.

There are a number of different methods that you can choose to conduct a TNA, some of them include:



Section 1: Creating a learning organisation

TNA Methods

Method	Description	Strengths	Weaknesses
Corporate aims and objectives	Review of strategic priorities to identify potential skills gaps in future	<ul style="list-style-type: none"> Ensures workforce development solutions support the strategic priorities of the organisation 	<ul style="list-style-type: none"> Needs to be carried out alongside other methods to provide evidence on existing skills and skills gaps
Competency analysis		<ul style="list-style-type: none"> The same competencies can be applied to various roles and levels Can be used as a developmental tool Effective to benchmark what is outstanding performance 	<ul style="list-style-type: none"> Can be viewed as bureaucratic by staff Used alone it can sometimes result in a lack of balance as individuals try to develop one competency others are neglected Lack of flexibility
Comprehensive task, knowledge, skills and attitudes	Manager and staff member identify the tasks together with knowledge, skills and attitudes that are required to perform the job at an appropriate level.	<ul style="list-style-type: none"> Most relevant for jobs with specific tasks that do not tend to change frequently e.g. reception staff 	<ul style="list-style-type: none"> Time consuming
Key task, knowledge, skills and attitudes	Similar to above but focuses on the tasks that are essential to produce results.	<ul style="list-style-type: none"> Useful for managerial roles Beneficial to look at roles where the emphasis on key tasks changes frequently 	<ul style="list-style-type: none"> Limited application to non-managerial roles



Method	Description	Strengths	Weaknesses
Comparison of job content with job description	Both staff member and line manager analyse and discuss whether the role being undertaken is the same as the job description	<ul style="list-style-type: none"> • Can be used as part of the appraisal process • Useful for identifying where someone might be performing above 	<ul style="list-style-type: none"> • Can be seen as bureaucratic • Potential to be time consuming
Monitoring statistics and trends	Review absence, sickness, time sheets, productivity and targets to identify where skills gaps might be an issue.	<ul style="list-style-type: none"> • Good for looking at issues that might be department or organisationally wide 	<ul style="list-style-type: none"> • Needs to be complemented with other TNA method when looking at gaps in "soft skills"
Appraisal process	<p>Review absence, sickness, time sheets, productivity and targets to identify where skills gaps might be an issue.</p> <p>This tends to take the format of a meeting either on a 6 or 12 monthly basis. It reviews the performance of the individual since the last appraisal or start in the role, whichever is appropriate. The meeting is also used as a basis to set objectives for the next appraisal period in relation to work and the individual personal development. As a guideline the manager should talk for no more than 20% of this meeting.</p>	<ul style="list-style-type: none"> • Ensures TNA is built into the ethos of the organisation • TNA reviewed at regular intervals usually either 6 or 12 monthly • Provides individual with opportunity to share their successes and identify their workforce development needs for the next appraisal period and beyond. 	<ul style="list-style-type: none"> • Often seen as bureaucratic • Can be time consuming for managers of large numbers of staff



Method	Description	Strengths	Weaknesses
Strengths Weaknesses Opportunities Threats (SWOT) analysis	This management tool can also be applied as a TNA tool. It can either be used on the organisation as a whole or on individuals. For example what strengths do we have as a workforce, what are our weaknesses, what opportunities do we have that we can access e.g. free workforce development and what are the threats to our workforce?	<ul style="list-style-type: none"> • Good for providing general overview • Opportunity to look at internal and external opportunities for accessing workforce development solutions 	<ul style="list-style-type: none"> • Need to ensure balance between the four areas and that feedback is constructive and objective
360 degree feedback	This is a developmental tool that can be used to support appraisals or as a standalone exercise. A specific set of criteria is developed that can include skills, attitude and behaviour. A range of individuals are then asked to comment on the extent that they agree the person successfully meets the criteria.	<ul style="list-style-type: none"> • Good for new people managers/those wishing to identify particular areas for development • Can be used to inform a Personal Development Plan • Anonymous • National Occupational Standards (NOS) for various roles can be used as a basis to develop the 360 degree criteria for 	<ul style="list-style-type: none"> • Ideally needs to be applied from the top down



Section 1: Creating a learning organisation



Exercise

Reason

Identify what has triggered your decision to undertake a TNA

Reason:

Reflect if this is a valid reason, if it is not revisit if a TNA is required. If it is a valid reason to continue ...

Strategic priorities

Do you have a clear idea about what your strategic priorities are?

Our strategic priorities are ...

If not, you need these before you can make your decision about undertaking a TNA

Organisational priorities

Do you have a clear idea about what your operational priorities are?

Our operational priorities are:

If not, you need these before you can make your decision about undertaking a TNA



Role profiles

Identify all types of roles in your organisation. What type of TNA method is most appropriate for each role?

Roles:

TNA method:

Culture

Are the TNA methods selected appropriate for the organisation in terms of size, aims and values?

What is the organisation's previous experience of TNAs?
How will this impact on how the TNA is undertaken?

What is the individual's previous experience of TNAs?
How will this impact on how the TNA is undertaken?

What do you need to do next?



How to link workforce development to the strategic planning process

Workforce development as part of the strategic planning process

The strategic planning process should include time to reflect on existing skills shortages and the impact that this will have on your ability to meet your strategic priorities. For example, if you have introduced a new case management system in order to support your fundraising priorities and a number of members of staff are still not using the system, your strategic planning should reflect how this is going to be addressed. This should then feed into your organisational workforce development plan.

The strategic planning process should also include an analysis of where there are potential gaps in skills as you develop your organisation over the next 12 months and beyond. For example, if you are hoping to develop a home appointment service you would need to think about what additional workforce development staff delivering this service might require e.g. conducting risk assessments out of the office. Again, this should then be fed into your organisational workforce development plan.

Links to organisational workforce development plan

When developing or reviewing an organisational workforce development plan it is useful to go through the following process to ensure that it is effectively linked to the strategic priorities of the organisation:

Step 1:

What are the organisation's strategic and operational priorities?
Do existing and planned workforce development solutions support these priorities effectively?
If not, what else needs to be done?

Step 2:

Are workforce development solutions evaluated against how they support the priorities?
If not, how could they be?

Step 3:

What procedures exist to identify skills gaps against strategic priorities e.g. are supervisions and appraisals used?
If not, how can supervisions and appraisals be used more effectively to support workforce development needs and strategic priorities?



Ensure understanding of strategic priorities amongst individuals

- Communicate strategic priorities on a regular basis
- Explain why they are the organisation's strategic priorities
- Identify how each individual's role and work plan support the strategic priorities
- Check individuals' understanding of strategic priorities and their impact on their role

Identify how workforce development solutions support your organisation's strategic priorities

Wherever possible make a clear link between the solution and how it will support your strategic priorities. This can be useful when justifying the expenditure and impact on resources attendance at a training course might have. This should be considered on both organisational and individual's workforce development plans. For example, attendance at a commissioning course might support a strategic priority of engaging with a local authority's commissioning process.

Evaluate workforce development solutions

Evaluating the workforce development solutions your organisation accesses will support your strategic priorities by identifying if skills gaps required to meet strategic priorities have been successfully addressed and/or they require further attention. A useful structure to consider when undertaking evaluation of workforce development solutions is the model developed by Kirkpatrick in the late 1950s.



Section 1: Creating a learning organisation

Kirkpatrick's four levels of training and evaluation

Level	Evaluation Type (What is measured)	Evaluation description and characteristics	Examples of evaluation tools and methods	Relevance and practicability
1	Reaction	Reaction evaluation is how the delegates felt about the training or learning experience.	'Happy sheets', feedback forms. Verbal reaction, post-training surveys or questionnaires	Quick and very easy to obtain. Not very expensive to gather or to analyse.
2	Learning	Learning evaluation is the measurement of the increase in knowledge - before and after.	Typically assessments or tests before and after the training. Interview or observation can also be used.	Relatively simple to set up; clear-cut for quantifiable skills. Less easy for complex learning.
3	Behaviour	Behaviour evaluation is the extent of applied learning back on the job - implementation.	Observation and interview over time are required to assess change, relevance of change and sustainability of change.	Measurement of behaviour change typically requires co-operation and skill of line managers.
4	Results	Results evaluation is the effect on the business or environment by the trainee.	Measures are already in place via normal management systems and reporting - the challenge is to relate to the trainees.	Individually not difficult; unlike whole organisation. Process must attribute clear accountabilities.

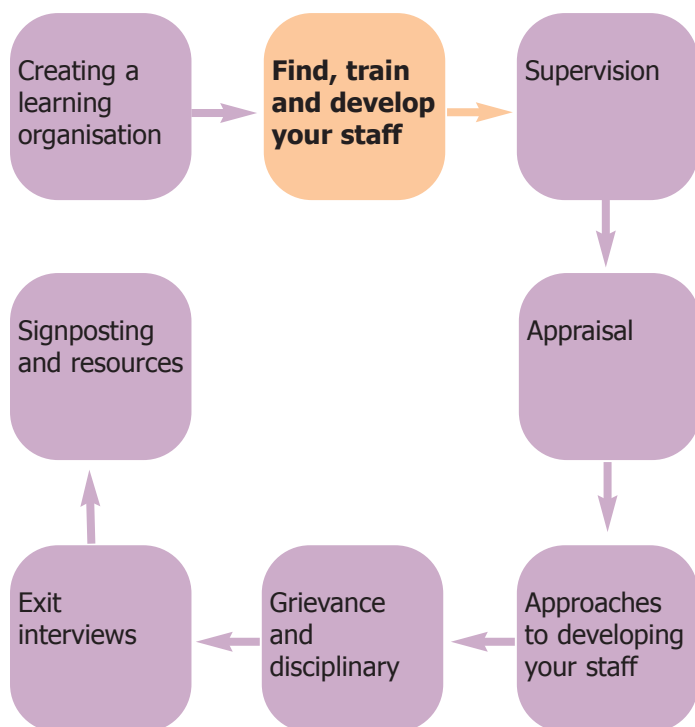


Section 1: Creating a learning organisation

Section 2: Find, train and develop your staff



2. Find, train and develop your staff



This section looks at recruitment, retention and developing your staff. It:

- Addresses some of the key barriers to recruiting and maintaining staff
- Applies particular recruitment and retention strategies
- Reviews best practice in recruiting, selecting and inducting staff
- Identifies practical tools to identify training needs of new staff
- Demonstrates how recruitment and induction can be used as a staff motivation tool
- Explains the new Quality Mark requirements for recruiting and inducting staff.

Getting the right people into the organisation is a priority for any manager. The high cost of recruitment makes it important for a manager to get it right first time.

The recruitment process begins when the organisation identifies the need to employ a person through to the point at which application forms for the post have arrived at the organisation and up to a candidate's first day.

The selection process chooses a suitable candidate from applicants to interview and goes on to identify a suitable candidate to fill a post.

Barriers to recruiting and maintaining staff

Imagining ourselves in the position of a job applicant will help to identify the reasons why organisations fail to recruit and why people leave an organisation. This should make the job of recruiting and inducting new staff a lot easier.



Section 2: Find, train and develop your staff

There are a range of barriers to recruiting and maintaining staff that organisations face. Once we understand what these are, we can begin to overcome such barriers.



Exercise:

Think of as many barriers as you can as to why people may join or leave your organisation?

Things that hinder me joining an organisation	Things that trigger me leaving an organisation

Knowing why people join or leave your organisation can help you design better processes to attract and retain good staff. This may be achieved by: proper induction, support, stimulating and challenging work.

Recruitment and retention strategies

Once you identify triggers for staff leaving your organisation it can help to avoid common recruitment issues and retain good staff. The following exercise follows on from the 'barriers to recruiting staff' exercise.



Exercise

Ask group to review their barriers and triggers and decide on 2 or 3 recruitment and retention barriers to take forward and work into a solution using the framework on the next page.



Section 2: Find, train and develop your staff

Recruitment Strategy Framework

Existing barriers/issue	How identified	What needs to change	How will it change?	Who is responsible	Timeframe
<p>Worked Example Short term funded posts</p>	<p>Low application numbers</p> <p>Unfilled posts</p> <p>Staff leave before end project</p>	<p>Period of funding</p>	<p>More bids for longer term projects</p>	<p>Manager in consultation with senior staff capable of writing winning bids</p>	<p>Open bid rounds - 3 months</p> <p>Fixed bid dates - 2 monthly</p>



Section 2: Find, train and develop staff

Retention Strategy Framework

Existing barriers/issue	How identified	What needs to change	How will it change?	Who is responsible	Timeframe
<p>Worked Example High turnover of staff among BAMER* workers</p>	Informally Exit interview records	<p>Assess reasons for leaving</p> <p>Equality & Diversity training for staff?</p> <p>If performance related, offer support & training</p>	<p>All staff informed of Equality & Diversity training</p> <p>Ongoing review of performance in supervision</p>	Manager & Senior Management Team	Within next 3 months

*



BAMER = Black, Asian, Minority Ethnic and Refugee

Section 2: Find, train and develop staff

Best practice in recruiting, selecting and inducting your staff

Stages of the recruitment process

The recruitment process begins when you identify the need for someone new in the organisation. Common triggers are an existing staff member leaving, or there is new work to be done. Recruitment ends after the appointment has been made and you have reviewed the whole process.

There are a number of stages and activities to follow:

1. **Identify vacancy** - A vacancy arises because an existing member of staff leaves or the organisation creates a new job.
2. **Prepare job description and person specification** - The job description lists the duties of the job whilst the person specification gives details of the experience, skills and abilities needed to carry out the job.
3. **Advertise** - A job advert is written and is circulated via internal bulletins and other local and national media, internet recruitment sites, specialist publications.
4. **Managing the response** - Application forms are sent out along with copies of the job description and person specification and must be returned on or before the closing date that has been set.
5. **Short listing** - A shortlist is compiled of applicants who are going to be invited for interview. This is done by the recruitment panel who compare each application form with the requirements of the person specification. Feedback can be provided (upon request) to those not shortlisted and applicants have the right to complain if they feel they have been unfairly treated.
6. **Arrange and hold interviews** - The panel will use the same set of questions with each interviewee. The interview may include a selection test. Feedback can be provided (upon request) and unsuccessful applicants have the right to complain if they feel they have been unfairly treated.
7. **Request references** - The successful applicant for jobs working in certain areas, including working with children or vulnerable adults, will be asked to apply for a criminal disclosure check through the Criminal Records Bureau (CRB). References will be requested using a set pro forma/by giving referee the job spec etc.
8. **Appointment action** - The successful candidate is appointed and induction training is arranged.

Interview and selection

A professional recruitment process is important. It helps validate the recruitment decision and supports the image and reputation of the organisation.



Section 2: Find, train and develop your staff

In order to make sound recruitment decisions, it is important to plan the interview.

Selection tests

These are useful to test the candidate's skills and knowledge and prove what has been declared in the application form and in the interview. It's important to ensure that tests relate to the job requirements. For example, a test for an advice worker might examine communication skills and ability to retrieve information on an area of social welfare law, but a test solely on their typing and wordprocessing skills where this forms a minority of the role is less essential, but more essential for a supporting administrator role.

Candidates who have disabilities should be offered use of additional equipment if necessary. This should be prepared in advance, having asked appropriate questions on the application form.

If you decide to use a test with candidates, tell them what is expected of them, what the test will be and how long it will last before they come for the interview.

In an advice context the type of test you need will be determined by the job type and level you are recruiting for. Below are some of the most commonly used ones in the advice sector.

Types of Tests and Exercises

Skills Tests

Skills tests are used where candidates need a particular skill to perform the job, e.g. typing, faxing, driving, or operating a piece of machinery. Many skills are taught and tested by outside bodies, in which case candidates are likely to hold certificates of proficiency. However, where candidates do not hold such certificates, or where they have been obtained several years ago, it may be appropriate to devise a short skills test. In an advice context, it is likely that a receptionist or administrator will undergo some sort of wordprocessing speed and accuracy test as part of her assessment process.



Section 2: Find, train and develop your staff

Good practice checklist

- ✓ **What will be the size and composition of panel?**
A panel should be made up of mixed sex and ethnicity wherever possible. Usually no more than three people for a senior adviser role. Only when recruiting at CEO level need there be more and not always.
- ✓ **Will there be any exercise or test to use?**
Ensure that any used are valid and relevant to the job.
- ✓ **Where will the interview take place?**
A private space with no interruptions that has adequate space and light is ideal.
- ✓ **What timetable will you work to?**
Allow at least five minutes before and after each session for preparation and review, and comfort breaks for the panel.
- ✓ **Do you have a structure and a clear questioning strategy?**
Logical order and that each panel member has the same version, is aware of question s/he will ask.
- ✓ **Is there a preferred style of interview?**
Formal (set questions) or informal (looser, conversational style).
- ✓ **Will there be any note-taking?**
Explain to the candidate that you will be taking notes.
- ✓ **What information will there be for candidates?**
Structure of department, terms of employment, when they can expect to hear result.

Written and Oral Presentations

Presentations are often used to assess candidates applying for posts which require a complex set of skills, together with specific professional/academic knowledge. By asking candidates to prepare and deliver a presentation on a given subject, and in some cases to participate in a discussion afterwards, selectors see the individual's presenting skills, analysis and reasoning, ability, evidence of their professional/academic knowledge and evidence of their attitudes.

Examples of oral and written presentation questions

1. Advice Worker giving technical advice

A management committee member comes up to you after the management committee meeting to ask you about his case. He is behind with his mortgage payments and has heard somewhere that he can ask for the interest rates to be reduced. You are a generalist adviser, but not many of your clients have mortgages. What he is saying sounds vaguely familiar but you do not really know. The committee member is being very insistent that you take on his case.

You are asked to write an outline about what you would do to deal with the situation.

You have 20 minutes to prepare and 10 minutes to present your answers to the panel as part of the interview process.

2. Senior Advice Worker/Supervisor

You are presenting to the Centre Manager your proposal to expand the advice service to provide immigration Level 1 advice to the community.

Your presentation should state the pros and cons of expanding into this area of advice and give your suggested timetable for implementation broken down into what you consider to be key pieces of work.

You should also briefly suggest any initial training/learning that the staff, managers and/or trustee board need to consider before expanding into immigration advice.

You have 30 minutes to prepare and the presentation should last no more than 15 minutes.

Case Studies

As with presentations, case studies can be a valuable way of assessing a candidate's knowledge of a particular subject area, and their likely approach to handling a particular situation. This selection method is sometimes used for candidates applying for managerial posts, or for posts requiring knowledge of specific procedures.



Section 2: Find, train and develop your staff

Other types of tests less common to advice settings

Group Selection Methods

Group selection methods are most frequently used to assess candidates' leadership qualities and their ability to express themselves clearly and get on with and influence colleagues. The types of exercise which are used include:

- leaderless group discussions
- command or executive exercises (e.g. outward bound)
- group problem solving.

Group exercises are time consuming and, therefore, costly. However, they may be useful for appointments requiring good leadership and communication skills. You can find examples of group selection exercises at <http://www.businessballs.com/interviews.htm#group%20selection>.

Psychometric Tests

There are three types of psychometric test:

- Tests of ability, aptitude or intelligence
- Questionnaires to measure "personality"
- Questionnaires to establish interests and preferences.

This is a complex subject area. Please see www.businessballs.com to access more information and examples.

Conducting the interview

The interview is the most widely used method of assessing job applicants. It is a two way process. For the interviewing panel, it represents the opportunity to seek evidence, through discussion of the applicant's skills, abilities and attitudes. For the applicant, there is the chance to expand on the information given in the CV, and to ask questions about the post and the organisation.

Every interview should have a clear and transparent structure to both the interviewers and the candidate. A simple one to follow is below (GASP):

- G**reet
- A**cquire information
- S**upply information
- P**art



Section 2: Find, train and develop your staff

Greet

Interviewers should provide candidates with an outline of the interview process in the invitation to interview letter/email and at the actual interview they should introduce themselves and tell applicants when they will be able to ask questions, and confirm the follow up process.

A gentle introduction helps put the candidate at ease. It may help for a panel member to begin by giving some basic information such as the structure of the interview, names of panel members etc. This gives the candidate time to relax. Remember, nerves are not necessarily a reason to mark a candidate down; beware of prejudging the candidate at this early stage.

Acquire

Interviewers should gather information by use of open, closed and probing questions following agreed question format based on agreed question criteria. Ensure that discriminatory questions are not asked. Open question: Why have you applied for this job? Closed question: Are you able to work evenings and weekends? Probing question: Tell me more about why you left your last job?

Supply

Interviewers should supply appropriate and accurate information by being aware of the questions and queries that candidates are likely to ask. Examples of questions include: What is the type/length of contract? What is the salary? How did the vacancy arise? What is the location? Is there any remote working?

Part

Interviewers should ensure that candidates are clear on what happens next, in particular how and when they will hear the outcome of their interview. Ensure that any administrative details that are your responsibility have been dealt with, e.g. details of referees are accurate. Ensure that the candidate is left with an image of professionalism and courtesy - so that regardless of the outcome in their individual case, they will carry away a good impression of the organisation and will feel that they have been dealt with fairly.

Guidelines on conducting interviews for applicants with a disability

The interview causes some form of stress for most interviewees, but there may be added anxieties for those with disabilities. It is therefore essential that those responsible for carrying out the interview consider the practical arrangements for interview, and ensure that all candidates receive fair treatment. Consider allowing longer for dyslexic candidates, disabled toilet access etc. An example of how one organisation approached interviewing a disabled candidate is below:



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Example

To prepare for her interview a candidate made it clear that she had a visual impairment and could not read written material in a font size less than 12 point, nor could she easily see on a standard computer/laptop. The organisation did the following:

- Sent all correspondence to her, including the test question in 14 point, well in advance of the interview
- Allowed her to handwrite her answers instead of using a laptop, and gave her a longer time to prepare her presentation exercise than candidates with no disability access needs.

Result

The candidate did not get the job, but fed back that she felt that she had been given an equal chance to prove herself, and was not hindered in any way because of her disability.

Generally

When interviewing the job description and selection criteria should be uppermost in the minds of the interviewers. They should aim to see beyond any disability and look at the ability of the applicant. Interviews should be specific at examining the skills, training, experience and ability of the interviewees and questions should not focus on the details of the applicant's disability. Arrangements for any special equipment which may be required, or for any organisational implications of the candidate's disability, should be dealt with separately; it should be clear to the candidate that selection decisions are being made primarily on the basis of their skills and abilities.

After the interview

Once the interview is complete it is easy to feel that the recruitment process is over. However, it is still important to ensure that the final stages of the process are completed; inform all candidates of the relevant outcome, keep records of the decision and analyse the process in a fair manner. One way of doing this is to use a sample interview score sheet used to score candidates' answers to questions.

Making the decision and informing the candidate

The final appointment decision should be agreed by all panel members. This should be done in consultation, at the end of all the interviews. Panel members should not discuss the candidates until they have all, individually completed their assessment sheets on each candidate.

Informing the successful candidate

Procedures for this might differ according to the post or the department, but best practice is to phone the successful candidate once the decision has been made.



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Unless you are authorised to do so you cannot actually offer them the job. The most you can do is say that you are going to make a recommendation to Human Resources that this person be offered the job. Letters of appointment come from Human Resources and include the person's contract and terms and conditions.

Unsuccessful candidates should be informed as soon as the appointed candidate has accepted the post.

How to provide feedback to unsuccessful applicants

It is good practice in recruitment and selection to give feedback to unsuccessful candidates who have attended interview. For some organisations providing feedback can be cost and time prohibitive particularly where the organisation is small. For some, feeding back only to those interviewed may prove best.

To make it easier for people to deal with a rejection, you need to give them reasons for it which they can understand, even if they don't necessarily agree with them. The idea is to portray the information in an objective and positive way, so that the disappointed candidate will feel good about their effort, your organisation, and feel motivated to continue to develop themselves and their career.

Giving feedback can be an uncomfortable process for the person who does so, particularly if the candidate failed to provide adequate answers some or all of the questions or was unsuitable for the post. The chair of the panel is responsible for giving feedback to those who request it because they led the interview, and should have a good knowledge of the post. If candidates are not successful, a letter should be sent out informing them of the outcome and offering feedback should they require this.

Giving feedback to unsuccessful candidates is a key part of a recruiter's role.

Good practice checklist

The following are key points to consider when giving feedback:

- ✓ Check whether the candidate wants feedback, not everyone does!
- ✓ Ensure that the feedback is based on an objective judgment relevant to the selection criteria for the job (person specification) and the job role.
- ✓ Feedback given must be based on the notes taken during the interview; memory should not be relied on.
- ✓ Feedback should incorporate positive feedback from the selection process in addition to feedback on areas where the candidate did not demonstrate that he/she met the criteria for the post.



Section 2: Find, train and develop your staff

Good practice checklist continued

- ✓ Feedback should be constructive e.g. suggesting ways in which the candidate may obtain the skills and experience that would better fit them for the job.
- ✓ Reference to any knowledge of the candidate that did not form part of the application or selection process must not be made.
- ✓ Feedback must be consistent with the majority decision of the selection panel, even if the individual providing the feedback does not agree with the decision.
- ✓ Feedback must not be given to anyone except the candidate.
- ✓ When providing feedback over the telephone it is important to check that it is a convenient time for the candidate to speak as they may want to ask specific questions.
- ✓ Discussions about other candidates should not be entered into, although it is sometimes appropriate to refer anonymously to the successful candidate in order to demonstrate how the successful candidate had more appropriate experience, skills or potential.
- ✓ A record should be kept of any feedback given to candidates.

If the candidate asks questions relating to a technical/specialist area of the post or his/her own experience that the individual giving feedback is not familiar with, the candidate should be referred on to another member of the panel for an appropriate response.

Keeping records

Record keeping is essential to ensure your procedures are robust and comply with external scrutiny.

The main points you need to consider around keeping records from interviews are:

- Keep all records of decision making, including short listing records and panel members interview notes.
- An employment tribunal can be brought against the organisation up to six months after the recruitment process has been completed. Therefore six months is the minimum period records should be kept.
- It is possible to bring a case under the Human Rights Act within a one year period, so it may be more appropriate to keep records for at least a year.



Section 2: Find, train and develop your staff

Analysing the recruitment process

As with any process you undertake, the process of recruitment should be analysed after each appointment to establish if there are things which can be improved.

The main questions you should ask yourself are:

- What worked well?
- What was not effective?
- Were the objectives achieved?
- Was the planning appropriate?
- What was the balance of the talking time?
- How much information was obtained?
- What should be improved next time?

You might also consider asking the appointed person what they thought about the process and if there is anything which could be altered or improved from the applicants point of view. For example, they may say that the map or the directions to the organisation weren't clear - which is not something you might immediately realise.

Identifying training needs of new and existing staff

Finding out your new staff's training needs from early on can help retain them in the organisation and quickly improve the quality of their work throughout the induction period.

New workers in an organisation should receive induction where they meet other workers and are able to identify any skills they need to develop or learn to do a good job. Staff may be encouraged to attend courses or other alternative forms of learning. Training takes place in the following ways:

1. On the job - learning skills through experience at work
2. Off the job - learning through attending courses
3. Alternative forms of learning, for example, coaching, mentoring or job shadowing. See also [Section 5: Approaches to developing your staff](#).

The table on the next page lists ways of finding out about staff training needs. Inevitably there will be some overlap between the lists.

By identifying this, the organisation can be more purposeful in identifying training needs and responding to these in a timely manner.



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Individual training needs

New and existing staff	Existing staff
Recruitment (interview question)	Supervision
Induction	File Review
References	Appraisal
Job description/person spec	Informal chats
	Day to day work (IT needs, negotiation skills)

The individuals training needs will contribute to the overall organisational training needs. A list of ways these can be identified is below:

- Business or strategic plan
- Changes to service agreed in annual service review
- Training needs analysis
- Team meetings
- All staff days/away days
- Complaints
- User feedback

See also [Section 1: Creating a learning organisation](#), which will also give more information on training needs analysis.

Here are some useful tools to help you develop your training policy and staff training plans.

1. Training and development policy
2. Staff Training Plan



Tool 1 - A sample Training and Development Policy

Training and Development

This procedure applies to all staff. The procedure describes how the training and development needs of workers will be met.

Forms to be used with this procedure:

- Training and development plan



Section 2: Find, train and develop your staff

Other relevant procedures:

- Supervision
- Appraisal

Who does this procedure cover?

This procedure applies to the training and development needs of all staff in the organisation that provide advice to clients. Although administrative staff provide basic information to clients at reception, they are not formally covered by this policy. The volunteer administration team will be updated on relevant issues at staff meetings and informal sessions, via memos, and are expected to use appropriate reference materials such as the Community Legal Services Directory when signposting clients.

This procedure aims to ensure that:

- all staff receive training which enables them to maintain and enhance their professional competence
- all staff take active steps to identify their own development needs
- advisers are up to date with current legal issues and tactical approaches
- identification of training needs is integrated into the day-to-day work of the service.

(The organisation) is committed to ensuring that all staff receive timely and appropriate training and that the skills and knowledge individuals gain is cascaded through the organisation.

Access to training is vital both for the professional development of individual workers and as a means of safeguarding the accuracy and quality of the service provided to our clients.

Identification of training needs

Training needs will be identified by the following means:

- Initial training needs of new staff will be assessed at induction, and an individual training plan will be completed for each new worker.
- After any agreed post-induction training, specific further training needs will be discussed at supervision meetings and if identified as urgent will be dealt with immediately.
- Discussion of longer-term training needs will be included in annual appraisals.
- Changes to service agreed in the annual service review will be assessed to identify what further training staff will need to carry these out.
- Advisers are responsible for identifying relevant changes in legislation and for cascading this knowledge to other advice staff.
- All staff should identify gaps in their knowledge and skills as these become apparent in their daily work, and raise these at supervision meetings.



Section 2: Find, train and develop your staff

Meeting training needs

A variety of training methods can be used to respond to different learning styles: in-house sessions, reading relevant books, journals and handouts, distance learning packages, observation of appointments/advice sessions (shadowing) and external courses.

Training and development plans

The supervisor should draw up a training and development plan for each individual worker during the induction period. An example template can be found on page 37.

Training plans will be based on the job description issued for the individual worker. In drawing up a training plan, the supervisor and adviser will:

- identify the skills and knowledge required from the job description; review existing skills and knowledge to identify which requirements have been met to date
- record any gaps in skills and knowledge on the training plan and provide plans of how they will be filled.

The training plan will be updated at supervision meetings on the basis of any new needs identified. The supervisor and adviser will review the objectives of the initial training plan after six months, at probationary review, to ensure that its aims have been or are about to be met. The training plan will also be reviewed at the annual appraisal in light of the yearly review of service strategy.

Training records

Each member of staff should have a training record containing training undertaken. A template example is available on page 37. This is kept with their training plan in an individual training folder. After attending any training, either in-house or external, advisers must enter the date and title of the course on the training plan and a brief assessment of the course. The supervisor will refer to the training record in supervision sessions.

Annual review

Information from the annual review of individual training plans will be integrated into an organisation-wide annual training review. This will be conducted as soon after the annual review of service as practicable.

Date adopted:

Date for review:

Management Committee Signature:



Section 2: Find, train and develop your staff



Tool 2 - Training and Development Plan

Name			
Post			
Date of Plan		Date of Review	
Skills and Knowledge	Needs Identified	How need will be met	Training undertaken and evaluation in terms of learning impact on worker skills, org, client and cost



How to induct staff and volunteers

Induction for new members of staff is extremely important. The induction process, if well prepared, will help to ensure new starters settle in quickly and happily, are productive in their role and are retained. Induction training is more than skills training. It's about the basics that a new staff member needs to know: new members of staff need to understand the organisation's mission, goals and values and of course the job they're required to do, with clear timescales and expectations.

Be aware though that too much information too quickly can be daunting and, therefore, the induction process should be paced.

Health and safety induction training for new staff and staff who have joined is essential and is the responsibility of line management. The Health and Safety Induction Workbook should be completed by all new staff joining the organisation and can be found on the Health and Safety Unit's website.

Professionally organised and delivered induction training is your new member of staff's first proper impression of you and the organisation, so it's also an excellent opportunity to reinforce their decision to come and work for you.

New members of staff who get off to a bad start may never really understand the organisation or their role in it, and this could lead to:

- poor integration into the team
- low morale
- failure to work to their highest potential
- accidents and prosecution.

In extreme cases, the new member of staff may leave, either through resignation or dismissal. Early leaving results in:

- additional cost for recruiting a replacement
- lowering of morale for the remaining staff
- damage to the organisation's reputation.

Recruitment and induction as a staff motivation tool

With a bit of careful thought and attention, your organisation can use its recruitment and induction process to help motivate and inspire staff. This can help with overall job satisfaction and lead to greater staff retention.



Section 2: Find, train and develop your staff



Exercise 2 - with a colleague in pairs

1. Think about what motivates you in your job role. List these.
2. What do you think motivates staff in their job role?
3. How can recruitment & induction be used to motivate staff?

To help answer these questions when recruiting, think about including questions to do with training and development. Find out if recruits have any hidden skills or talents that the organisation might utilise.

When inducting new staff think about following up on training needs identified early on at interview. This can help the new staff member to settle in quicker and inspire confidence in the organisations approach to learning and development.

New recruits need to be motivated by work and the environment they join. Try to include as many motivation mechanisms as possible. Remember it's not just the manager that can help to motivate staff.

Who or what else might?

- Other staff/colleagues
- Clients
- Stakeholders
- Other organisations
- All staff days
- Seminars/conferences
- Informal discussions with colleagues

Think about how all these people and activities can be used to help induct and support your new staff member (including internal candidates). Doing so can help make your recruitment process a success.



Section 2: Find, train and develop your staff

Quality Mark requirements

The people management standard most closely relates to the requirement to recruit and induct staff.

The Standard requires that any quality marked service **recognises** the value of its staff and volunteers. It requires that the organisation has enough **competent workers and volunteers** to help it fulfil its role and effectively deliver its services. Paid staff and volunteers should be **selected, recruited and inducted in line with relevant and agreed equality and diversity policies**, and adequately supported thereafter

Standards 1 - 4 are those that best mirror how an organisation should carry out its recruitment and induction process.

PEOPLE MANAGEMENT

The Standard: A quality marked advice service **recognises** that its staff, paid and voluntary, are its most valuable resource. It has **sufficient competent volunteers and paid staff** to achieve its purposes and mission and deliver its services efficiently. Volunteers and paid staff are **selected, recruited and inducted according to** agreed **equality and diversity policies**, and are well supported, supervised and trained.

A quality marked advice service should have:

Processes to:

1. Recruit and select people fairly and legally.
2. Provide induction for staff into the organisation and on their role within it.
3. Provide learning opportunities for staff to achieve, maintain and develop competence in their role within the organisation.

It expects the organisation to have the following documents in place. The emboldened relate most closely relate to requirements around recruitment and induction.

The following documents will help your organisation to evidence how you meet the people management standard.

1. Written procedures for the recruitment, selection and management of staff that meet the requirements of equality legislation and which include job descriptions and person specifications for paid staff and role descriptions for volunteers.
2. Documents that evidence the core technical skills that are required for each role within the advice service.



Section 2: Find, train and develop your staff

3. An equal opportunities policy.
4. Learning and training policies and plans reviewed annually.
5. Individual learning and training records.
6. Individual appraisal/supervision records.
7. Written statement of terms and conditions of employment for all paid staff.
8. Policies available to all volunteers (if any) which deal with their role within the organisation and the support and supervision available to them.
9. Vetting records e.g. references, criminal bureau records checks consistent with the remit of each post and in line with current criminal records legislation.
10. Policies available to all staff which cover disciplinary action, grievance, anti-harassment and anti-bullying and health and safety including:
 - a) procedures on dealing with, and reporting violence and abusive users, and
 - b) practical steps to ensure the health and safety of staff when interviewing users alone, during home visits and during outreach work.

Other information to consider

How to ensure an equalities approach to recruitment

When interviewing the job description and selection criteria should be uppermost in the minds of the interviewers. They should aim to see beyond any disability and look at the ability of the applicant. Interviews should be specific at examining the skills, training, experience and ability of the interviewees and questions should not focus on the personal details of the applicant's disability. Arrangements for any special equipment which may be required, or for any organisational implications of the candidate's disability, should be dealt with separately; it should be clear to the candidate that selection decisions are being made primarily on the basis of his or her skills and abilities.

Guidelines on conducting interviews for applicants with a disability are necessary to ensure an organisation complies with the requirements of current legislation around the Disability Discrimination Act.

What follows is an exercise that allows you to think further about how to ensure you comply with current disability legislation.



Section 2: Find, train and develop your staff



Exercise 3 - Equalities Recruitment

One of the shortlisted candidates left without attending the interview and implied that we had failed to meet our obligations under the Disability Discrimination Act.

The candidate said to the administrator that due to a visual impairment she could not use the laptop and could not read the instructions. The administrator agreed to increase the font size of instructions and then asked the panel what to do.

The panel agreed that she must be given the full 45 minutes to prepare even if this meant a late start for the interview. It was relayed to the candidate that the 100 words that were required could be handwritten - she did not have to use the laptop. We suggested that five additional minutes could be given to compensate for this.

When the Chair of panel went to relay this to the candidate, he found the candidate packing up and preparing to leave stating that she had 'seen what type of organisation we are' and does not wish to proceed with her application. She said that we have DDA obligations. The Chair said he was aware of that and we were committed to meeting them. She then left.

Having checked the files it was noted that the candidate's monitoring form stated that she had a disability. However, the form contained no further details because it did not ask for any. The panel also noted that the invitation to the interview letter, sent to the candidate on 26 August, stated, what the interview process would involve and asked (though, in quite small font), the candidate to confirm 'attendance and any access requirements'. The candidate had responded by e-mail simply to confirm attendance but did not state any access requirements.

The panel feels satisfied that it had asked about access issues and the candidate had not given a reasonable opportunity for adjustments to be made - either before or at the interview.

What do you think has gone wrong?

How can the organisation put things right in future?

Any lessons your organisation can learn from this scenario?



Section 2: Find, train and develop your staff

Take your recruitment process seriously. A quick review of all the stages will help you to improve your processes and learn from previous recruitment rounds. Training needs identified early in the interview process and at induction should be acted upon straight away. It can help with retention of your staff.

Find out what motivates and inspires your staff. Respond to this and you can have a happier and more productive workforce.

Good practice checklist

- ✓ Have you reviewed your recruitment process? Doing so can help the organisation improve its overall performance when recruiting staff.
- ✓ Can you identify the barriers to joining and reasons for leaving an organisation? This can help you avoid common recruitment/retention pitfalls
- ✓ Remember the importance of motivation. The application form, interview, induction and supervision can all be used to find out what motivates your new member of staff.

Resource - Hertzberg's theory of motivation.



Section 2: Find, train and develop your staff

Appendix 1

Below is a list of reasons advice centre managers gave for not joining or triggering them leaving an organisation

Things that hinder me joining an organisation	Things that trigger me leaving an organisation
<ul style="list-style-type: none"> ● Not in agreement with the aims of the org ● Location ● In a bad area ● Distance too far ● Bad atmosphere poor appearance ● Complex recruitment process ● Reputation of org ● Lengthy CRB process ● No flexible working ● Not enough salary ● Poor advertising ● Length of contract ● Others' bad experience ● CRB checks - lengthy recruitment process ● Types of roles ● Rigid hours ● Terms and conditions ● Not suitable client group ● Stigma ● Benefits of it aren't made clear ● No pension ● Bad reputation ● Not enough hours ● Too radical organisation ● Collective [structured] organisation ● Hours 	<ul style="list-style-type: none"> ● Don't feel valued ● Lack of progress ● Overwork with little in return ● Boredom ● Burn out ● Management style ● No flexible working ● Unrealistic expectation of role ● Pay cut ● Personality clashes ● Change in culture of organisation ● Maternity leave ● Length of contract ● Lack of support/training ● Reach retirement age ● No variety ● Other staff being rude ● Non-equality ● No thanks ● No role description ● No progress ● In at the deep end ● Volunteer exploitation ● Paid work ● Lack of flexibility ● Being asked to leave ● No benefits ● Staff bullying ● Unhappy with the job e.g. no prospects ● No support, supervision ● Being undermined ● Poor equipment ● Relocation ● Retirement ● No funding ● Oppression ● Stress ● Poor team work



Section 2: Find, train and develop your staff

	<ul style="list-style-type: none">● Personal development● Redundancy● Restructuring
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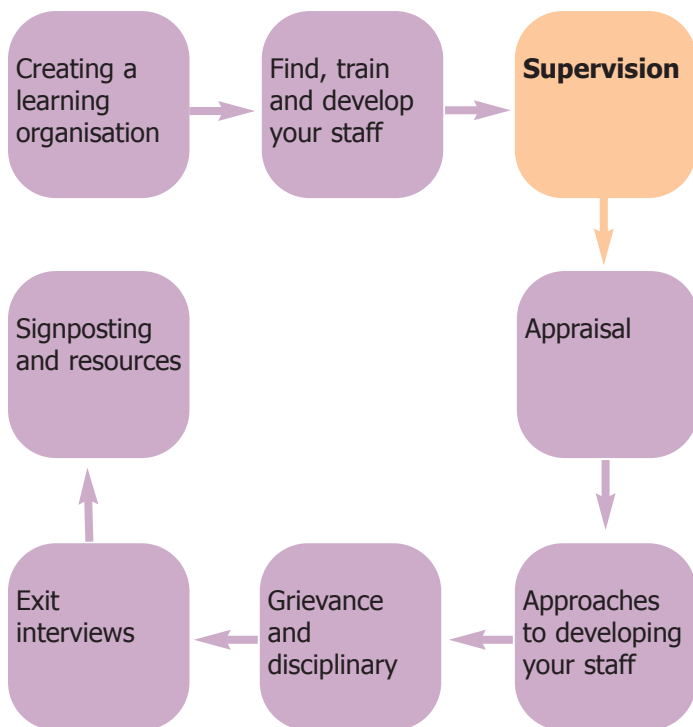


Section 2: Find, train and develop your staff

Section 3: Supervision



3. Supervision



This section will explore the following topics:

- Benefits of supervision
- Why supervise staff?
- Technical and Managerial Supervision
- Who should be supervised
- What skills and qualifications do supervisors need
- Quality Mark
- Peer Review
- National Occupational Standards for Legal Advice
- Models of supervision
- Independent file review

This section identifies the benefits of supervision, distinguishes between technical and managerial supervision and explains the skills and qualifications that supervisors need. It outlines the New Quality Mark standard and requirements for supervisors and those of the National Occupational Standards for Legal Advice and gives an overview of Peer Review and Independent File Review. A range of supervision models are included and guidance is provided on how to carry out an independent file review.

In any organisation it is helpful that all workers, staff, managers and volunteers have regular meetings where they can discuss their progress, work problems, any contractual issues or other matters that may affect their work. This is usually achieved through regular supervision sessions. The term supervision often carries with it overtones of 'checking up' on someone whereas when conducted in a supportive or developmental way can bring benefits to both the individual member of staff and the organisation.

The purpose of technical supervision in an advice service is to ensure that the best possible outcome is achieved for the client through the provision of advice that is accurate, timely and appropriate to the client's circumstances. Systems of technical supervision should be designed to enable the client to receive advice from an adviser who is competent to provide advice on the matter presented. The adviser should have access both to the relevant information resources and to a supervisor whose level of knowledge and experience meets the criteria for a supervisor set within the New Quality Mark and the Legal Services Commission Quality Mark standard.



Section 3: Supervision

The benefits of supervision

Individual	Organisational
Prevents isolation	Ensures that the organisation plan is being met
Motivates workers	Identifies training and support needs - relating to organisational needs
Pre-empting difficulties and enables corrective action where necessary	Improves communication
Ensures that workers are clear about what they are doing	Reinforces culture of the organisation and ensures compliance with procedures
Identifies training and support needs - individual competence	
Monitors workload to prevent stress	

Why supervise staff?

Prevents feelings of isolation

All staff need to have feedback on their work so that they feel part of the organisation, have access to guidance and information and feel valued by praise for their achievements. If this is not provided they will lack motivation, feel uncertain about what they are doing and will not learn about new developments both inside and outside the centre making them less able to do the job.

Reduces risk of conflict within the centre

Often differences within the centre become worse if they are not talked about. However, where staff feel they are being listened to and their concerns are being taken seriously their frustration is less likely to lead to conflict which is much more difficult to deal with.

Ensures that procedures are being operated properly

When there are a number of systems in place in the centre it is important to monitor how successfully they are being operated by different people. Especially at the beginning there may be some workers who are not as good as others in complying with the office manual. The best way to guarantee that they get the support they need to comply with the office manual is through discussions that can take place in supervision sessions.



Section 3: Supervision

In an advice context:

Controls workloads

By monitoring how many (or how few) cases are being undertaken by each caseworker a supervisor can control the workload of caseworkers. This means that they will be able to monitor performance.

Supervisors can also step in to control the numbers of cases to ensure that caseworkers are not overburdened. Without such monitoring and support caseworkers can find themselves under constant pressure and stress. Such working conditions lead to a bad service being offered to clients and in extreme cases can mean staff have to take sick leave.

Allows mistakes to be corrected

Along with file reviews supervision enables the supervisor to see mistakes that are being made on cases by (less experienced) caseworkers. The supervisor can ensure that these mistakes are rectified, and that action is taken to support the caseworker so that they do not happen again.

Training needs and adviser competences are identified

Supervisors are able to find out through supervision the areas that the caseworker is weaker on. This might show what needs the caseworker has for training and might also influence the supervisor when it comes to deciding which cases go to which advisers. It prevents difficult cases being allocated to advisers who do not have the knowledge or experience to deal with them.

Sharing and getting advice on difficult cases

Within a busy advice centre supervision time is a space for the caseworker to discuss any cases that they are worried about or that they would like advice on from a more experienced worker. Having a named supervisor also means that a caseworker has someone to talk to if an urgent matter arises. Without supervision it can be difficult (especially for new workers) to identify who is the best person to ask particularly if everybody always seems very busy! Furthermore it can resolve emergencies before they happen.

Supervisors are also there to support non advice giving workers such as administrators, information workers and so on. Supervision can provide them with the necessary support and direction they need to achieve their work goals and help them continue to successfully contribute toward the advice and other functions of the organisation.

Technical and Managerial Supervision

Supervision can be divided into two kinds - technical and managerial. A technical supervisor will address issues relating to the quality of the legal advice service provided, whilst the managerial supervisor will deal with issues of overall general performance.



Section 3: Supervision

The list below shows what activities fall under technical or managerial supervision.

Technical	Managerial
Checking post	Overall general performance
Checking accuracy and appropriateness of advice	Setting targets and measuring progress against work plans
Directing an adviser to the relevant legislation or case law	Team relations
Ensuring that any corrective action is undertaken where an error or omission has occurred	Human resources issues - leave, contractual issues, timekeeping, attendance etc.
Caseload analysis	General resources, e.g. computers, office space and equipment
Case plan preparation	Training and development
Undertaking and analysis of file reviews	
Discussion of difficult cases and outcomes of cases	
Legal training needs	
Procedural checks	

The person providing Technical and Managerial supervision may or may not be the same person. Where there are different people in these roles, there will need to be clear definition of tasks and good communication between them.

! Top Tip

Avoid confusion. Make sure you are clear about the difference between technical and line managerial supervision.

Who conducts each type of supervision will depend very much on the size and structure of an organisation. In a small organisation that provides advice the manager or director may be both the casework supervisor and the line manager in which case both technical and managerial supervision will be the remit of the same person. In such a case it would be usual for the same supervision session to cover both areas.

In larger organisations the two types of supervision may be covered by different managers in which case there has to be some form of reporting mechanism between the two supervisors. Such a system needs to be transparent and the supervisee must be made aware of the limits of confidentiality that apply and what information may be passed from the casework supervisor to the line manager.



Section 3: Supervision

Who undertakes supervision?

The advice work or technical supervisor does not need to undertake both types of supervision; this may not be appropriate. The organisation's coordinator might be primarily responsible for managerial supervision and the casework supervisor, e.g. a senior or more experienced adviser, responsible for technical supervision. Whatever systems are finalised it is important to distinguish the two types of supervision and allocate responsibility if the two functions are to be carried out separately.

There will be times when the two functions will cross over. Overall performance can only be judged after the results of file reviews have been disclosed to the co-ordinator. Heavy caseloads will impact on the success or otherwise of meeting targets in workplans and persistent failure to operate to documented procedures may lead to the possibility of grievance or disciplinary action.

Who should be supervised?

It is very easy in the advice sector to assume that supervision should only apply to advisers or caseworkers as this group of workers have a need for technical supervision around the advice that they give. The Learning and Skills Council and the Working Together for Advice new Quality Mark draft standards both strongly emphasise technical supervision (i.e. supervision of the legal advice given) more than line management supervision (covering issues such as Time Off in Lieu (TOIL), annual leave etc.), and therefore only applies to advisers. However, best practice suggests that advisers should also receive managerial supervision and, this being the case, it follows that all workers should receive managerial supervision.

Supervision for all staff ensures a consistency of approach in an organisation and informs staff of how their respective roles fit together and help deliver the organisation's targets or business plan. If not all staff receive supervision and a conflict or disciplinary issue arises there could be accusations of unequal treatment.

Managers

Supervision doesn't stop at the ordinary members of staff - an organisation should have structures in place to facilitate the supervision of team leaders or middle or senior managers (where they exist) and even the chief executive should, in turn, receive supervision - usually from the Chair of the Management Committee or Board of directors.

Volunteers

Where an organisation uses volunteers they too will need support and supervision.

"All volunteers need support and supervision. The form that this takes will vary wildly. Volunteers at a one off event will need different support to a long term volunteer. What is important is that it is appropriate to the role, and the individual volunteer." (Volunteering England)



Section 3: Supervision

Organisations will need to tailor the supervision they provide to the needs of the volunteer and the role they are carrying out. A volunteer who provides advice is likely to need one-to-one supervision sessions similar to that of a paid adviser although the frequency may be different. A volunteer providing admin support may also have supervision sessions with a line manager but less frequently and with interim support being provided in the form of some sort of buddying system. Similarly an organisation may hold volunteer meetings that are separate from any staff or team meetings or simply hold informal catch-up sessions with individual volunteers. Supervision of volunteers may be termed 'support sessions' to ensure differentiation from paid staff.

What skills do supervisors need?

Supervisors need a range of skills, knowledge and attitudes if they are to be competent supervisors:

Skills: e.g. listening, motivation, inter-personal skills, delegation, communication skills.

Knowledge: e.g. the appropriate categories law, organisation policies and procedures, human resources, ethos, training providers.

Attitudes: e.g. non-judgemental, empathic, assertive, supportive, approachable, accessible, professional.

The new sector specific and Community Legal Service (CLS) Quality Mark also lays down specific requirements for supervisors of advice at both Specialist and General Help level.

The Quality Mark

Introduction

This section will primarily focus on the supervision requirements identified in the new sector specific Quality Mark (QM) Standard developed by Working Together for Advice. It will provide an update on the current position of the Legal Services Commission QM, and provide website links to where the CLS General help and specialist standard can be found.

Update on the Legal Services Commission (LSC) Quality Mark

The LSC has now contracted out the auditing of its General Help QM and audits of existing QM holders and new applications are being carried out by The Assessment Network Ltd. The auditing process commenced on 1 April 2009. To find out more about the existing QM Standards go to www.legalservices.gov.uk

The New Quality Mark Standard

The main difference between the LSC General Help Quality Mark (GHQM) and new standard and is that the new QM includes a "Quality of Advice" standard and assessment process as well as the organisational standards.



Section 3: Supervision

Standard 1

Extracts from the new Quality Mark Standard (draft)

SERVICE STANDARDS

The service standards are:

1: CASE AND ENQUIRY MANAGEMENT

The Standard: A quality marked advice service has an appropriate case and enquiry management system in place to ensure consistently good quality advice and service is delivered to clients. Where an advice service undertakes casework it also has additional processes to ensure good quality casework is provided for clients.

(a) For advice enquiries:

A quality marked advice service should have:

Processes to:

1. Operate a case filing and records management system.
2. Update legal, procedural and other information.
3. Signpost and refer to caseworkers or other appropriate local service providers.
4. Provide advisers with access to technical advice guidance and support.
5. Operate a key dates and action items diary, where appropriate.
6. Effectively monitor advice given, correcting or amending incomplete or incorrect advice provided.
7. Operate an internal quality of advice assessment procedure and act on the findings.
8. Create and securely store advice records for the time required.
9. Ensure secure disposal of advice records.

Documents:

1. Up to date policies, procedures and relevant codes of practice for the operation of the advice service, which are available to all staff.



Section 3: Supervision

1: CASE AND ENQUIRY MANAGEMENT continued

2. Written and up to date advice records which meet the Quality of Advice Standard.
3. Records of internal assessment of quality of advice.
4. Policy dealing with conflict of interest in acting for a client.

(b) Where an advice service undertakes casework it should have in addition to 1(a) above:

Processes to:

1. Allocate casework to advisers according to their level of competence and experience.
2. Progress casework using a case management procedure.
3. Provide technical advice and support for advisers undertaking casework.
4. Provide a supervised case checking system for casework which includes a system for taking any corrective action identified.
5. Operate a key dates and action items diary, and evidence of its effective operation.
6. Annually review case checking system.

Documents:

1. An explanation of the advice service's system for case allocation.
2. A document to describe the case management system.
3. A document to describe the supervision and case checking system for casework.



Section 3: Supervision

6: PEOPLE MANAGEMENT

The Standard: A quality marked advice service recognises that its staff, paid and voluntary, are its most valuable resource. It has sufficient competent volunteers and paid staff to achieve its purposes and mission and deliver its services efficiently. Volunteers and paid staff are selected, recruited and inducted according to agreed equality and diversity policies, and are well supported, supervised and trained.

A quality marked advice service should have:

Processes to:

1. Recruit and select people fairly & legally.
2. Provide induction for staff into the organisation and on their role within it.
3. Provide learning opportunities for staff to achieve, maintain and develop competence in their role within the organisation.
4. Ensure equal opportunities and diversity awareness opportunities for all staff.
5. Manage, support and supervise its staff and volunteers appropriate to the size of the organisation.
6. Ensure effective internal communication.

Documents:

1. Written procedures for the recruitment, selection and management of staff that meet the requirements of equality legislation and which include job descriptions and person specifications for paid staff and role descriptions for volunteers.
2. Documents that evidence the core technical skills that are required for each role within the advice service.
3. An equal opportunities policy.
4. Learning and training policies and plans reviewed annually.
5. Individual learning and training records.
6. Individual appraisal/supervision records.
7. Written statement of terms and conditions of employment for all paid staff.
8. Policies available to all volunteers (if any) which deal with their role within the organisation and the support and supervision available to them.
9. Vetting records e.g. references, criminal bureau records checks consistent with the remit of each post and in line with current criminal records legislation.



Section 3: Supervision

10. Policies available to all staff which cover disciplinary action, grievance, anti-harassment and anti-bullying and health and safety including:

- a) procedures on dealing with, and reporting violence and abusive users, and
- b) practical steps to ensure the health and safety of staff when interviewing users alone, during home visits and during outreach work.

Peer Review

The LSC now views peer review as the best means of assessing the quality of advice at specialist level. This approach was confirmed in 'Assuring and Improving Quality in the Reformed Legal Aid System' (LSC January 2008). Providers will (at the outset) have to achieve a peer review of at least a 3 (threshold competence), therefore Peer Review takes on a much more significant role than might initially be apparent.

Peer Review involves an agency sending the LSC a list of all cases closed in the last year. The LSC then requests 20 files from the list which are passed to the Peer Reviewer who reviews 15 of them against a set of criteria. It is very similar in many ways to the system of Independent File Review conducted internally by an agency as a requirement of the Quality Mark. A Peer Reviewer will be looking at the files for evidence of regular supervision and file reviews along with an indication that corrective actions have been undertaken where necessary.

It is, therefore, important that the information recorded in case files is in line with what will be checked at Peer Review - supervision and (internal) independent file reviews are the means of ensuring this.

National Occupational Standards for Legal Advice

Supervision

The generic standards incorporate unit LA28 which is for those responsible for managing, supervising, training or supporting other practitioners to maintain and develop effective practice with clients. The support process includes providing professional supervision where appropriate.

- Element LA28.1 - Agree to support other practitioners
- Element LA 28.2 - Promote the effective practice of practitioners
- Element LA 28.3 - Deliver support sessions to practitioners

The knowledge base and skills requirements are much the same as above.

(For further information: www.nos4advice.org.uk & www.management-standards.org & standards for advice and guidance level four at www.empnto.co.uk directory for all occupational standards can be found at www.ukstandards.co.uk)



Section 3: Supervision

Timing of supervision

For most staff supervision sessions scheduled for every four to six weeks is probably about right although these may be more frequent for new or less experienced members of staff. It is useful to set a time limit for the sessions, e.g. a maximum of one hour and that sessions should not be cancelled except in an emergency. It should be clear whose responsibility it is to reschedule any meetings that are postponed and that they should be rearranged as a matter of priority.

Different models of technical supervision

1. Traditional or hierarchical supervision

When might it be used?

Where there is an advice manager/co-ordinator in post with technical expertise or one adviser who has more technical expertise than the other advisers. This is the most common model of supervision.

Advantages	Disadvantages
Relationship between supervisor and supervisee is clear	If there is no manager or supervisor in post it could create tensions in a team if one person is given responsibility for supervision.
Problems / mistakes are picked up more easily by experienced supervisor	Problems / mistakes are picked up more easily by experienced supervisor

2. Self supervision

When might it be used?

Supervising oneself if the adviser has the necessary qualifications is sometimes the only option in small agencies or agencies where there is only one advice worker.

Model

It is difficult to have formal supervision sessions in this model but it is, nonetheless, particularly important to have some kind of structure. For example set aside one morning / afternoon session per month to go through a set agenda considering difficult cases etc.



Advantages	Disadvantages
This is sometimes the only option if you're on your own (but agencies in this position should consider appointing an external supervisor)	It requires motivation to supervise oneself - it could be easy to let client work take precedence over supervision.
	It is necessary to be particularly careful as there is no one to pick up any mistakes that may have been made
	There is no personal contact and therefore it is possible to feel isolated - no sounding board

3. Peer supervision

When might it be used?

Peer supervision is appropriate in centres where all advisors have similar qualifications / experience and work at a similar level. It is also used for agencies who work in a co-operative (not hierarchical) structure.

Peer supervision sessions can also be used alongside traditional supervision to build team relationships and to raise awareness across a team of an agencies workload.

Models

There are several different models that can be used:

Team meetings: Have team meetings set aside for supervision once a month. Works well in relatively small team (3/4).



Section 3: Supervision

Advantages	Disadvantages
Three heads are better than one - more ideas etc.	People less likely to bring up difficult issues
Builds knowledge across the team of various casework (sickness and holiday)	No one-to-one
Good means of inducting new staff	

4. Peer circle supervision - Adviser A supervises Adviser B, Adviser B supervises Adviser C, Adviser C supervises Adviser A.

Advantages	Disadvantages
Everyone has role of supervisor and supervisee	Less likely to bring up difficult issues
Can work towards team building	Could break down with staff changes
	Difficulty of swapping between the role of supervisor and supervisee

5. Partner supervision - Advisers A and B supervise each other, Advisers C and D supervise each other. Need even number of advisers for this model.

Advantages	Disadvantages
Can create strong links between advisers	A lot of pressure on one relationship - could cause difficulties
Can work towards team building	Less likely to bring up difficult issues
	Could break down with staff changes
	Difficulty of swapping between role of supervisor and supervisee



Section 3: Supervision

Variations

You can mix and match methods! For example in an agency where there is a co-ordinator who has management and fundraising responsibilities but no advice background - staff could either self supervise or peer supervise for TECHNICAL supervision, but for MANAGEMENT supervision the co-ordinator would take responsibility. Another example would be where staff members self supervised for TECHNICAL supervision but a Management Committee member provided MANAGEMENT supervision.

6. Partnership working

It is also possible to consider working alongside another agency for supervision. If a suitable solution cannot be found in-house another local agency may be able to offer supervision instead.

The Legal Services Commission has been piloting a scheme of peer review for Specialist Quality Mark franchise holders.

Independent file review

Independent File Review consists of a check on samples of advisors' work by reviewing enquiry sheets and case files. The review covers procedures (e.g. case recording and file management) and the quality and accuracy of advice given.

Why carry out independent file reviews?

File reviews, like technical supervision ensure that the quality of advice given is high, training needs are identified and advice service procedures are adhered to.

File review identifies how cases and enquiries are handled.

The outcome of file review should be fed into supervision sessions. Both file review and supervision should feed into annual appraisal.

Points to consider when writing a file review procedure

Who carries out a file review?

Usually it will be the supervisor. If the supervisor does not have sufficient expertise on an area of legal advice, it can be delegated. Where there is no one inside the organisation you can bring someone with the relevant expertise from outside (e.g. from the local law centre); some organisations co-opt management committee members who have the relevant advice expertise.

If the supervisor does not carry out file reviews themselves, they will need to have feedback and bring it onto the supervision agenda.



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Whose work is reviewed?

Every one in the organisation who gives legal advice, including volunteers and the supervisor, should have their work independently reviewed.

How often should file reviews be carried out and how many?

This depends on the adviser's experience and the level of advice given. For less experienced advisers or where problems are identified, file reviews will be more frequent (e.g. every month) and a larger number of files will be picked for review. Where most work consists of one-off enquiries, the number of reviews will be greater than complex cases.

File reviews do not need to be carried out in a face-to-face session with the adviser - this would be too time-consuming.

Choosing files to review

It is a good idea to pick a cross-section of the different types of work done by each adviser. Sometimes you may want to monitor certain cases more closely e.g. where problems are identified in previous file reviews.

- In addition, the new Quality Mark requires that a Quality Marked service should have the following processes in place to:
- Effectively monitor advice given, correcting or amending incomplete or incorrect advice provided.
- Operate an internal quality of advice assessment procedure and act on the findings.
- Keep records of the internal assessment of the quality of advice.

The file review outcome e.g. a completed file review checklist must be kept in a central file. A copy can be kept in the client's file, but a record on the file stating that the review has been done is enough.

Corrective action is identified and carried out as soon as possible.

An annual review of file reviews should be fed into an annual review of service performance against the service strategy.



Section 3: Supervision

Conclusion

Regular supervision is essential and carries with it a range of benefits. There is a distinction between technical and managerial supervision and the supervisor needs a number of skills and qualifications. The new Quality Mark standard and requirements for supervisors and those of the National Occupational Standards for Legal Advice evidence quality in supervising staff. A range of supervision models are available and is important to choose the one that best suits the organisation. Depending on the size and structure of the advice centre, independent file review helps the supervisor to review the quality of the legal advice given.

Good practice checklist

- ✓ Have you clarified the difference between technical and managerial supervision?
- ✓ Are supervision sessions regular and diarised?
- ✓ What skills, knowledge and attitudes do you already possess as a supervisor and which would you need to acquire and when and how can this be done?
- ✓ Have you chosen a supervision model that best fits with how your organisation works?
- ✓ If the Quality Mark is important to your organisation, which processes do you have in place to successfully meet the criteria? Which do you still need to develop?

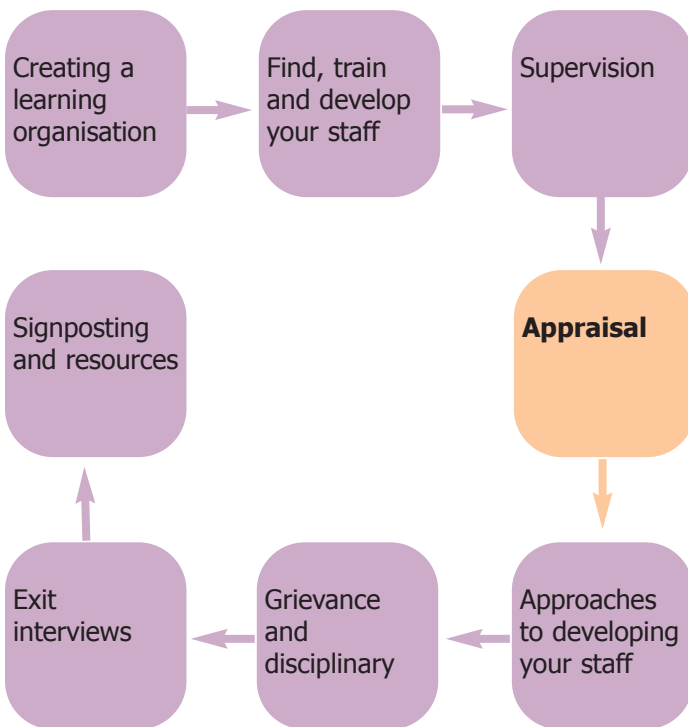


Section 3: Supervision

Section 4: Appraisal



4. Appraisal



This session will explore the following topics:

- What is an appraisal?
- What is the purpose of an appraisal?
- How to carry out an appraisal
- How to link training needs to appraisal

To get the best out of your organisation the staff need to be productive and be enthusiastic about what they do. Appraisal helps the organisation identify the strengths and areas of development of its workforce. It can help to motivate workers and result in improved work.

Appraisal is an important part of the personal development of all staff. Given the difficult climate that many advice centre staff face today, the issue of staff morale and personal development cannot be over emphasised. People need to be valued and to have their needs and future plans and priorities considered. By taking care of its employees an advice centre can increase its productivity and expertise and longevity of its staff tenure.

What is an appraisal?

Appraisal is a formal process that occurs periodically, approximately every six months to a year and includes a thorough review of each employee's performance and how their role relates to the overall objectives of the organisation. It can provide a sense of achievement for workers, as they realise what they have achieved over the course of a year, which may get lost in day-to-day supervision and other activities. It should also give workers targets and a sense of direction for the coming year.

A definition

1. A formal judgement or assessment of the value of something,
2. A judgement or assessment of the professional performance of someone

<http://en.wiktionary.org/wiki/appraisal>



Section 4: Appraisal

Characteristics and benefits

- Effective management and evaluation of staff
- Helps individuals develop
- Improves organisational performance
- Feeds into business planning
- Generally conducted annually for all staff in the organisation
- Generally carried out by a line manager
- Enables management and monitoring of standards
- Agreeing expectations and objectives
- Delegation of responsibilities and tasks
- Enables organisational training needs analysis and planning
- Useful for career and succession planning
- Important for staff motivation, attitude and behaviour development
- Communicating and aligning individual and organisational aims
- Fostering positive relationships between management and staff
- Vital for managing the performance of people and organisations.

An appraisal can include:

- A re-evaluation of a worker's job description
- An assessment/feedback of a workers strengths and weaknesses
- A review of past performance and previously set goals/targets
- An agreement of goals/targets for the coming period
- Identifying further training and development needs

How appraisal differs from supervision

Staff appraisals differ from supervision sessions in that they are usually longer, held once or twice a year, are more formal and allow staff with their manager to reflect as well as to look forward. An appraisal is the framework within which supervision is conducted.



Appraisal	Supervision
More formal	Less formal
Occurs periodically, eg six monthly to a year	Happens regularly, usually monthly or six weekly
Involves a thorough review of a worker's job role and setting of new targets and goals for coming period	Allows regular check on progress and ongoing guidance and support
Targets set for the period	Reviews appraisal targets from time to time
Plan future development	Usually focuses on work objectives
May take account of non work specific objectives a worker has	
Usually carried out by the line manager	Usually carried out by the line manager

What is the purpose of an appraisal?

To succeed, an appraisal must have a definite purpose and clear objectives. Without a clear understanding of what the appraisal is for and what objectives are set, the occasion will be worthless.

Its purpose is to:

1. Review the strengths and development areas of a worker
2. Set and review performance objectives
3. Assess training and development needs
4. Consider long term future plans.

1. To review the strengths and weaknesses of a worker

An appraisal session allows a worker to reflect on their strengths in a particular area of their work or an aptitude or skill they have. Opportunity should also be given for a worker to identify weaker areas that they need to improve. They should also be given support to improve on areas that are less satisfactory. Any good appraisal form will allow an appraisee to identify his/her strengths and areas for development.

A balanced approach to this is important. Perhaps focus on strengths first. If the emphasis is heavily on areas for development then the worker is likely to be de-motivated. Performance appraisal should be a positive experience providing a platform for development and motivation. Even if areas requiring improvement are identified, this ought to be treated as a development opportunity not a matter of punishment or negative criticism. Any matters of discipline or admonishment should be kept to a separate occasion.



Section 4: Appraisal

A worker's chance to learn, develop and grow can help to motivate staff and can lead to greater job satisfaction for a worker. It is therefore important to find out what they do and don't like about the work they are doing and to identify what else they might like to do and how they can be supported to do better.

2. To set and review performance objectives

An organisation wants to make the most of its workers efforts and therefore must be given attainable objectives as well as encouragement. Mutual objectives will be agreed at the appraisal interview. These must be realistic so workers can achieve them, yet challenging enough to retain their interest in the work. If objectives are not measurable there is no way of telling whether or not a worker has improved their performance.

3. To assess training and development needs

For workers to increase and improve the skills required to do their job they may need further training or development. An appraisal process should include this and allow workers to discuss their development needs at the appraisal interview.

Training and other workforce development solutions such as shadowing and mentoring should be aimed at improving areas where the worker is strong and bringing up to an agreed standard areas where they perform less well or would like to improve upon.

4. To consider long term future plans

For your organisation to progress it needs to make the most of all its staff and volunteers. Performance appraisals can be used to identify an employees hidden talents and strengths and see where they might fit into the future needs of the organisation.

How to carry out an appraisal

Forms to use

Three kinds of form or sections of a single form can be used to carry out an appraisal and are completed prior to the appraisal as well as some during the appraisal session:

1. A **pre-appraisal form for the worker** to complete. This helps them to prepare for the interview in advance by reflecting on their job, themselves, how things have gone or changed in the last year and how they might develop in the future and their training needs
2. A **pre appraisal form for the manager** which details the areas of work from the job description and the skills from the person specification and enables the manager to score or comment on the performance of the worker against them
3. An **appraisal interview form** covering a range of general points arising from the content of the work, how it is done, future plans and training needs with some comments from the manager first and then discussion noted from both parties



Section 4: Appraisal

4. The manager and the worker meet to review the main duties and objectives of the job
5. Actions needed for the individual's development are agreed
6. Monthly supervision sessions are used to regulate and take forward any agreed actions from the appraisal.

The appraisal should be recorded and agreed by both parties. A sample form is provided as **appendix i**) for this purpose. This can be referred to during supervision if necessary, as well as at the next appraisal. If you lack confidence go for appraisal interview training.

Key considerations:

1. Prepare - anything to do with performance and achievement, previous performance appraisal documents and current job description are needed.
2. Has the worker received the section of the form s/he is required to fill suitably in advance. Does the form include guidance for completion?
3. Have you thought about whole person development beyond and outside the job skill set? Some people aren't interested in job skills training but are motivated by other learning.
4. Inform - let the appraisee know the time and place that the appraisal will take place.
5. Venue - ensure a suitable venue is planned and available; free from interruptions and private.
6. Layout - room layout and seating are important elements which have an influence on atmosphere and mood. The more relaxed and informal the space and mood can be the better for all workers. Manager and staff member sitting at an angle to each other is preferable. Face to face is confrontational.
7. Introduction - open with a positive statement. Remember an appraisee may be frightened and it's up to you the manager to create a calm and non-threatening atmosphere. Simply explain the process, let the worker know that it's their meeting not yours. Begin with general discussion about how things have been going, but avoid details at this stage.
8. Review and measure - review the activities, tasks, objectives and achievements one by one. It's worth concentrating on hard facts and figures. Avoid non-specific opinions about the appraisee. Being objective is the key.
9. Agree an action plan. The plan can be staged with short, medium and long term aspects, but plans must be agreed and realistic.
10. Agree specific objectives these include the specific actions and targets which put together, form the action plan.
11. Agree necessary support - whatever support helps the appraisee achieve their objectives ought to be considered. This can include training of various sorts, e.g. external courses, seminars, internal courses, coaching, mentoring, shadowing, meetings, workshops, manuals, guides and so on. Don't forget training and development that relates to whole-person development outside of job skills.
12. Invite any other points or questions.
13. Close positively where possible.
14. Record main points and agreed actions and follow up.



Section 4: Appraisal

Appraisal for managers

Managers are often neglected in the appraisal process as the Management Committee may lack the skills or knowledge on personnel issues to be informed enough to carry this out. It would be of great benefit to most co-ordinators or directors of small voluntary organisations to have an appraisal of their own performance.

Name of organisation

Appraisal Assessment

Name of Appraisee:

Date:

Appraised by:

1. Review of Job Description

How well does the job description reflect the overall responsibilities of the post, and how manageable/variable are the combination of tasks?



2. Review of Person Specification

How well does the person specification reflect skills and knowledge requirements of the post?

3. Review of workplan

How clear are priorities? How achievable are the tasks?

4. Review of resources

Do you feel you have adequate resources to perform effectively in your job?



5. Staff training and development

How effective have we been in meeting the core organisational development needs for this post?

How well have your personal development needs been met?

6. Support and Supervision structures

Does the postholder feel the targets they are set are realistic and achievable?

How well does the postholder feel they are supported and supervised to achieve these tasks?

Do they feel they receive feedback on their performance?



7. How well does this post relate to other posts in the organisation?

What barriers exist to effective working across teams and other structures?

8. Please ask if the postholder has any other positive or negative comments to make.

9. Please identify self-development targets

Signed
Date



How to link training to appraisal

Any good appraisal system will include an opportunity for staff to identify any training needs they have. An important part of the appraisal process is to identify a worker's development and training needs. This allows progress to be made on areas that worker and manager agree need to develop.

To ensure this happens, the three forms used for appraisal discussed earlier should include a section where the worker can identify their training and development needs arising out of the review of objectives.

The appraisal interview form should give the worker the opportunity to explain their work priorities and achievements but also to state any difficulties they have faced in carrying out their job and to identify any training needs they may have.

There are a number of criteria that managers and workers need to consider when thinking about training needs arising from appraisal. These include:

1. Equal access to training

All workers should have equal access to training regardless of their position in the organisation. Budgetary constraints and relevance to a workers role ought to be the criteria used to decide upon whether a worker can attend a training course or not.

2. Budgets and the cost of training

When an advice centre needs to make cuts to its budget, it is common for training to be the first item to go. Of course, the organisation's current financial situation versus the cost of training need to be considered. However, a properly considered budget will include training costs for the number of workers and volunteers it has, in line with the job descriptions of each post or role. As such the budget for training should be included at the planning stage. (See section on Creating a Learning Organisation).

Some organisations will allocate a percentage of the overall organisational budget to training paid staff. Others will estimate the likely types and costs of courses that a post holder will attend over a given period (usually a year) and decide by these means. Whatever is decided it is important that training remains a part of the organisations ethos.

Training identified at appraisal need not only be formal courses, but can include conferences, seminar and workshops, coaching, mentoring or on the job training as all are learning opportunities.

Decide if formal training is best or if coaching, mentoring or another low cost, high yield option is better.

! Top Tip

Be careful to avoid committing to training expenditure before suitable approval or permission has been agreed.



Relevance of the training to the duties of the post holder

Access to training for workers should be agreed by the line manager. The manager may need to consult with their manager if the training exceeds the normal training budget or if the training requested is not obviously linked to the staff member's work remit.

How relevant is the training to the work that a worker does? Whilst a course may not appear relevant it may well be related to an aspiration that the worker has about a particular future role. All of this should be considered between worker and a manager and consolidated by the budgetary constraints discussed earlier

Previous training attended by the worker

Ensure that appropriate feedback occurs after the worker attends a training session. Further, assess whether the learning from the training has been implemented in the workplace and provide support to make this happen. E.g. ask the worker to cascade the training or to share key learning points in a mini report.

Time and workload implications

Some courses leading to formal qualifications may require a longer time commitment. Such a commitment will have to be balanced against the organisation's limited staff and financial resources.

The current and future work of the organisation

The training needs identified during appraisal should broadly fit with the current and future work of the organisation. If the organisation plans to expand into other areas of advice giving it will be important for training to reflect knowledge of the new areas of law that the organisation intends to offer. The training may not directly relate to the services the organisation provides but instead may cover issues faced by the organisation such as managing change. Some organisations might consider responding to whole person needs but be unable to offer it subject to financial constraints.

Records of training requested and agreed/denied

Has the worker previously requested this training before? What were the reasons? If the reasons for denial still stand since last appraisal that should be that. However, where the focus of a worker's role may have changed the re-request should be considered in view of the changing nature of the postholder's work and the needs of the organisation.

Good practice checklist

- ✓ Is the organisation committed to and involved in appraisal rather than seeing it as a paper exercise?
- ✓ Have the objectives and workings of the scheme been explained to the appraisee and is training provided for the appraisee if necessary?
- ✓ Is the method of assessment objective?
- ✓ Has the appraisee's views been taken into account?
- ✓ Does the appraisal look to the future as well as review the past?



Section 4: Appraisal

Quality Mark requirements for appraisal

The new Quality Mark standard has been developed by one of the eight Workstreams that are a part of the Working Together for Advice Project. The new standard recognises that both paid and unpaid staff are an organisations most valuable asset. They receive support, supervision and are trained.

Documents

The standard requires that individual appraisal/supervision records are kept and possession of these by a centre demonstrates a meeting of the standard, along with actual daily practice where records that these sessions are carried out are kept.

A quality marked advice service should have:

Processes to:

1. Recruit and select people fairly and legally.
2. Provide induction for staff into the organisation and on their role within it.
3. Provide learning opportunities for staff to achieve, maintain and develop competence in their role within the organisation.
4. Ensure equal opportunities and diversity awareness opportunities for all staff.
5. Manage, support and supervise its staff and volunteers appropriate to the size of the organisation.
6. Ensure effective internal communication.

Documents:

1. Written procedures for the recruitment, selection and management of staff that meet the requirements of equality legislation and which include job descriptions and person specifications for paid staff and role descriptions for volunteers
2. Documents that evidence the core technical skills that are required for each role within the advice service
3. An equal opportunities policy
4. Learning and training policies and plans reviewed annually
5. Individual learning and training records
6. Individual appraisal/supervision records
7. Written statement of terms and conditions of employment for all paid staff
8. Policies available to all volunteers (if any) which deal with their role within the organisation and the support and supervision available to them
9. Vetting records e.g. references, criminal bureau records checks consistent with the remit of each post and in line with current criminal records legislation



Section 4: Appraisal

10. Policies available to all staff which cover disciplinary action, grievance, anti-harassment and anti-bullying and health and safety including:

- a) procedures on dealing with, and reporting violence and abusive users, and
- b) practical steps to ensure the health and safety of staff when interviewing users alone, during home visits and during outreach work.

Appraisal

Appraisal is an important part of the personal development of all staff. It is a formal process that should occur periodically, every six months to a year. A review of a workers work is made and a chance to reflect on work achieved is given as well as to plan and identify training and learning needs over the coming period. A robust budget and clear criteria needs to be in place to ensure that once identified workers can receive the training they need to improve upon identified areas. Properly prepared appraisal is an essential development and reflection tool for all advice organisations and their workers.

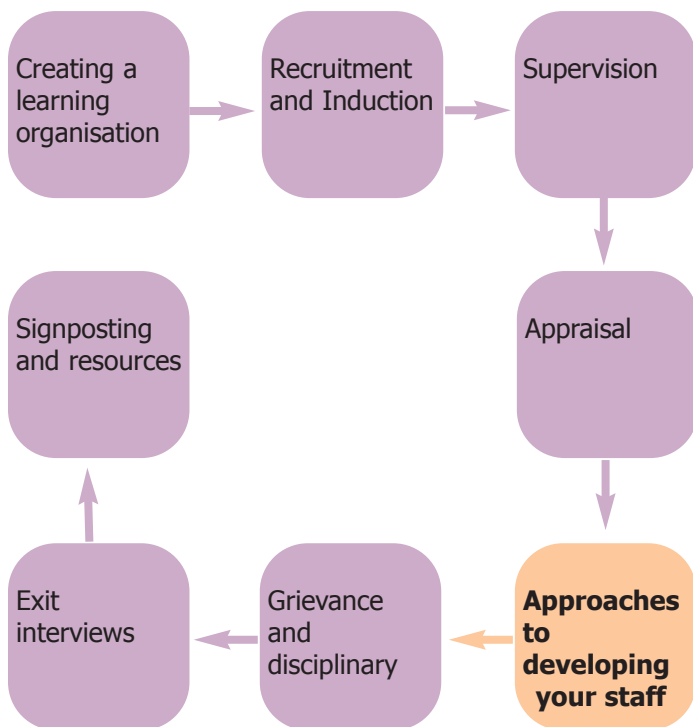


Section 4: Appraisal

Section 5: Approaches to developing your staff



5. Approaches to developing your staff



This section will focus on:

1. Traditional training
2. Coaching
3. Mentoring
4. Shadowing
5. On the job
6. In house training/tailored training
7. Obtaining a qualification
 - NVQs
 - NOS
 - Foundation Degrees
 - Continuous Professional Development (CPD) (Immigration advisers and LSC supervisors need CPD)
8. Assessing learning styles using the Visual Auditory Kinaesthetic (VAK) model

What are the options for training and developing your workforce beyond the traditional training route and what are the benefits of each? This section looks at various training and learning models, identifies how managers and those responsible for training staff can plan training, and make best use of diverse training and learning methods as a means of developing their workforce.

There are many different training and development, learning methods.

- Informal training
- Classroom training
- Internal training courses
- In house training
- External training courses and seminars
- On the job coaching
- Life coaching
- Mentoring
- Skills training
- Technical training
- Distance learning
- Accredited training
- On the job training



Section 5: Approaches to developing your staff

- Delegated tasks and projects
- Reading assignments
- Presentation assignments
- Job deputisation or secondment
- Evening classes
- Attending internal briefings and presentations e.g. lunch and learn events
- Special responsibilities that require obtaining new skills or knowledge or exposure
- Video
- Internet and e-learning
- Job swap
- Attachment to project or other teams
- Shadowing
- Accredited outside courses based on new qualifications e.g. NVQs, MBA's

Time and space won't allow us to explain and explore all of these learning methods. The resource section at the end of the Toolkit will tell you where you can find out more about each. This section will focus on:

1. Traditional training
2. Coaching
3. Mentoring
4. Shadowing
5. On the job
6. In house training/tailored training
7. Obtaining a qualification
 - NVQ's
 - NOS
 - Foundation Degrees
 - Continuous Professional Development (CPD) (Immigration advisers and LSC supervisors need CPD)
8. Assessing learning styles using the VAK model

1. Traditional Training

Before rushing your staff off to a traditional training course, it might be useful to get your staff to try out the VAK learning styles assessment form first to decide whether a traditional training method or perhaps an alternative might better suit how they learn. This can be found at point 9 in this section.

Conventional or traditional methods of training refer to those where training is delivered in ways that that have been around for many years. It is required to cover essential work-related skills, techniques and knowledge.

In general, traditional methods focus on presentation (e.g. lecture) and hands-on methods, including demonstration, practice, discussion, mind mapping, case studies, role play, and presentation. Each training session usually includes an introduction, learning objectives, participatory methodologies, and activities and some evaluation. Using multiple methods will provide variety and help maintain trainees interest in the training session.



Section 5: Approaches to developing your staff

Traditional training is the most common method of training staff. However, before sending staff or embarking on a training course yourself, first ask, yourself the following questions.

- Is this the best and most cost effective way of meeting the training or development need?
- What alternative learning and development methods are there?
- What happened (or did not happen) as a result of training undertaken last time? (impact on worker, organisation and end user)

Characteristics of traditional training
Usually planned and arranged by an organised training body (often an external agency)
Normally a course attended outside of one's own workplace
Course content and topics are usually preset and determined by the training body. Little or no flexibility to change
Some courses can be free e.g. many run by a local Council for Voluntary Services (CVS), many are paid for

2.Coaching

Coaching is improving the performance of someone who is already competent. It can involve a bit of personal development and listening and exploring ideas and ways of doing something.

When might coaching be useful?

- At times of major transition - Returning to work after maternity leave, poor health or leading up to retirement
- If you've reached a point where you are bored and de-motivated, looking for promotion or planning to go for secondment or other assignment
- In the first few months of a new job as part of an induction.



Section 5: Approaches to developing your staff

How does coaching differ from mentoring and training?

Coaching is ...	Mentoring is ...	Training is ...
Relationship with generally a short duration	Longer term relationship	Giving someone skills and or knowledge
Gain self awareness	Supportive	Led by an instructor
Goal focused	Guidance	Designed to change behaviour in a desired way
Structured and scheduled meetings	Advice given as required	Usually seen as an intervention
Focus on specific issues	Longer term tailored development	Competency based
May not have direct experience of role	Usually passes on experience and normally more senior	Directive
Used for personal or professional development and issues at work	Focus on career development and future roles	Content based
Gives feedback sometimes when not asked	Only gives feedback when asked	Should address all learning styles



Types of coaching

There are broadly two types of coaching style:

- Hands on
- Hands off

Hands on	Hands off
Sets objectives	Agrees objectives
Takes control of development	Helps plan development
Gives feedback on development	Encouraging
Trains	Asks what needs to be done
	Asks how things are progressing

In order to get the best out of your workforce you need to know which approach is best to use with those you manage. Remember, each staff member is different and one approach may work for one staff member but not another.

In terms of coaching it will help to understand what the core skills and qualities of a hands-on and hands-off coach are and when you may need to apply either technique to your own management situation.

Hands on

Communication
Expert
Provide constructive feedback
Trainer
Directive

Hands off

Communication - ability to ask open ended questions
Listener
Patient
Inspiring
Positive
Delegator
Self assured
Confident
Open minded
Non-judgemental
Motivated
Flexible
Self aware
Receptive
Reflective
Empathetic



Section 5: Approaches to developing your staff

A hands-off coach will question using a range of open ended questions, listen and check their understanding whereas hands on will usually be less questions oriented and be more directive.

How coaching can be applied to managing your workforce

In supervision you might decide to adopt a coaching approach when supporting a worker in their role.

The use of open ended questions helps the worker to share ideas or concerns regarding a particular topic as it invites the learner to share their ideas about a particular subject or topic whilst closed questions are useful for obtaining facts and clarifying simple points.

Below are four types of open ended questions that you can use in supervision as part of adopting a coaching approach:

1. **Broad open questions** - these are used at the start of coaching and designed to get a full picture of the issue. Example, Talk me through the project so far
2. **Open and probing questions** - these are designed to elicit further information, keep the learner talking and to get more detailed information about the issue. Example: How can you develop a coaching framework?
3. **Reflective questions**- encourage the learner to reflect on what they are thinking and can be used to find out more especially when emotions are involved. Example: You thought he over-reacted. What do you think caused this reaction?
4. **Challenging questions** - these are used to test ideas, challenge the coachee's thinking and to get them to explore the ideas that they are having. Example: What do you think might be missing from the plan? Additionally when ending a session and wanting to clarify timescales when a piece of work might be completed by the worker, another challenging question might be, When do you think you are likely to complete this by?

Advice centre coaching

A range of people usually work in an advice setting. Generally, there will be a manager, a senior caseworker who may also be a supervisor too, a generalist adviser, an administrator, a receptionist and volunteers. Different people may require different forms of coaching. Usually the centre cannot afford to buy in an external coach.

It is likely that the supervisor adopts a coaching approach to support a worker in her new role as a new worker or an existing worker that has been promoted or with a particular piece of work that needs doing. The supervisor may be delegating more responsibility to workers who may need support fulfilling some of the functions of the new post e.g. fundraising.



Section 5: Approaches to developing your staff

3. Mentoring

Mentoring is the passing on of support, guidance and advice.

Its purpose is "... to support and encourage people to manage their own learning in order that they may maximise their potential, develop their skills, improve their performance and become the person they want to be." (Eric Parsloe, The Oxford School of Coaching & Mentoring)

It is usually used to help people to progress in their careers and is becoming increasingly popular as its potential is realised. It is usually a partnership between two people (mentor and mentee) normally working in a similar field or sharing similar experiences. It is a relationship that is based upon mutual trust and respect.

This session looks at:

- What is a mentor and mentoring?
- Principles and techniques of mentoring
- Tips on establishing a mentoring scheme

A mentor is a guide who can help the mentee to find the right direction and

- Someone that helps the mentee to develop solutions to career issues
- Someone that relies upon having had similar experiences to gain an empathy with the mentee and an understanding of their issues
- Mentoring provides the mentee with an opportunity to think about career options and progress.
- There to help the mentee to believe in herself and boost her confidence
- Should ask questions and challenge, while providing guidance and encouragement.

Mentoring:

- Allows the mentee to explore new ideas in confidence
- Gives you or your staff the chance to look more closely at yourself, your issues, opportunities and what you want in life
- Is about becoming more self aware, taking responsibility for your life and directing your life in the direction you decide, rather than leaving it to chance.

Conclusion

Coaching can be used to improve the performance of an already competent person.

It can differ from mentoring in that it is usually for a shorter duration with specific objectives.

A coaching approach can be used to support staff in their work. Use of open ended questions helps a worker to explore particular issues and get the best results.



Section 5: Approaches to developing your staff

Accordingly, many of the principles of mentoring are common to those of proper coaching.

Mentees need simply to open their minds to the guidance and facilitative methods of the mentor.

Good practice checklist

- ✓ What parameters and aims have you set for the mentoring activity?
- ✓ What will your mentoring programme or service look and feel like?
- ✓ What must it achieve and for whom?
- ✓ What are your timescales?
- ✓ How will the mentoring programme or activity be resourced and managed and measured?
- ✓ What methods (phone, face-to-face, email, etc) of communication and feedback are available to you, and what communications methods do your 'customers' need and prefer?
- ✓ What outputs and effects do you want the programme to produce for you, and for the people being mentored?
- ✓ Establishing clear visible parameters enables proper agreement of mutual expectations.
- ✓ How can it be used in an advice context?



Section 5: Approaches to developing your staff

It's best to:	It's best not to:	Explanation
Help the 'mentee' find the answers for him/herself.	Simply give the mentee the answers	Giving the answers is usually better than giving no help at all, however, helping the mentoree to find the answers for him/herself provides far more effective mentoring, because the process enables a better learning experience for the mentee.
Focus mentoring effort and expectations (of the person being mentored especially, and the organisation) on helping and guiding		Mentees need to experience their own attempts, failures and successes, and by so doing, to develop his/her own natural strengths and potential. Give someone the answers and they learn only the answers.
Help the mentee find the answers and develop solutions of his/her own.		Mentors need to facilitate the experience of discovery and learning.
Should ask the right questions (facilitative, guiding, interpretive, non-judgemental) that guide the mentoree towards finding the answers for him/herself.		Mentors need to be facilitators and coaches, rather than tutors or trainers.



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Mentoring and Advice Work

An example of an advice specific mentoring scheme is the Developing Discrimination Advice Pro Bono Mentoring Scheme.

What is the scheme?

The Developing Discrimination Advice Pro Bono Mentoring Project is being piloted by the Working Together for Advice project in association with the Bar Pro Bono Unit.

The Pro Bono Mentoring pilot runs for a year and aims to recruit 20 mentor pro bono lawyers across England willing to provide one-to-one support on developing casework skills and legal knowledge to 20 specialist discrimination advisers working in the not-for-profit sector.

The main purpose of the project is to:

- reduce the isolation of discrimination advisers in the not-for-profit sector
- provide them with access to an experienced and skilled expert who can help them develop their casework skills and legal knowledge.

What benefits will the scheme bring?

Benefits for the mentee:

- Reduce the isolation of working in the discrimination field.
- A regular opportunity to discuss challenging cases with an experienced, skilled practitioner.
- A chance to develop legal skills and knowledge and to discuss professional development.

Benefits for the mentor:

- An opportunity to provide a different kind of pro bono support and be part of an innovative pilot.
- A chance to gain experience as a mentor and enhance personal skills.
- An opportunity to develop broader understanding of the not-for-profit advice sector and the support it offers to clients.

How will the scheme be organised?

The matching process will be done on the basis of a number of factors, including geographical location, areas of specialism and level of experience.

Focus

An initial meeting will be held in order to establish mentoring ground rules:

- The purpose and scope of the mentoring - we recommend that the main focus of the mentoring relationship should be the development of the mentee's casework and legal skills.



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- The frequency, length and structure of future contact - the mentoring could be conducted through regular face-to-face meetings or through pre-arranged phone calls. We suggest that you aim to arrange at least 2 hours of mentoring each month, with a review after six months.
- What type and level of contact is acceptable outside of the pre-arranged mentoring times.
- A mentoring contract - a template contract will be provided.

4. Shadowing

Here we will look at:

- What work shadowing is
- The benefits of work shadowing
- Guidelines for work shadowing
- Types of work shadowing; pros and cons
- A sample procedure

What is work shadowing?

Work shadowing is the process of accompanying and observing someone at work in order to train or to obtain insight.

Shadowing provides a unique opportunity for staff to 'step into' each other's shoes for a period of time and learn about how another person operates in a particular role.

You are usually paired up with a member of staff. At a mutually convenient time, both spend an agreed amount of time together to share information and skills that one worker possesses and seeks to pass on to another within or external to the organisation. There you will have the opportunity to find out more about each other's work ranging from day to day responsibilities through to the wider contexts in which you work and the challenges you face.

You also have the opportunity to ask questions, offer and take advice as well as share ideas on how the organisation can continue to work more effectively.

Benefits of work shadowing

Work shadowing has many potential benefits for an advice organisation. It can help to improve communication across departments, and even between team members. It is also an excellent networking tool and can help break down barriers across the organisation. Work shadowing is an opportunity for sharing good practice, personal skills and for self-development.

Some job roles or parts of the jobs may not be able to be shadowed for reasons of confidentiality. Examples include advice sessions where the client explicitly states they do not wish to have any other person present apart from their allocated advice worker. There are also certain activities which may not be shadowed, for example appraisal interviews, job interviews, disciplinary and grievance hearings. However, certain exceptional allowances may be made dependent on the circumstances involved.



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Guidelines

In order to get maximum benefit out of the work shadowing experience the following questions should be considered carefully by the individual wishing to undertake the shadowing. It may be beneficial for both parties to discuss them in advance:

- What do you want to get out of the experience/what are your learning objectives, for example, pinpointing a particular process or activity?
- Are there any specific aspects of the role that you are especially interested in finding out about? If so, it may be useful to let the 'shadowee/host' know in advance, so where possible he/she can plan the period accordingly
- Have you got any particular questions that you want to find the answers to?
- How will you use the information you have learnt in your own work?
- How will the work shadowing experience fit with your development needs generally?
- Structure of the process? One session or several, time, duration etc.
- How you can share what you have learnt more widely
- Not taking on too much and valuing what you learn
- Discuss any problems and how to overcome them, for example, any language barriers or training needs.

It would also be helpful:

- If both participants agree what they expect to gain from the experience and are frank about any areas of special interest or anxiety
- To discuss practicalities such as transport, office or local events etc., and to let colleagues know in advance
- To obtain permission from your line manager and mutually agree a date, length of time or any issues of confidentiality.
- If the host draws up a programme ready for the visit. This should be as varied as possible in order to gain as much information about the department and institution as a whole as well as the job role and the generic processes involved behind job tasks.

Types of work shadowing

This depends on how 'involved' the shadower wants to become in the host's work. The important thing is that the shadowing partners should discuss beforehand and come to an agreement.

1. Fly on the wall

The host just gets on with their work, and if anyone else interacts with them, they just mention that 'X' is shadowing me today etc.

Advantage: the role is clear, little interruption to the host's work

Disadvantage: little interaction, little chance to learn as you go along, a bit of a one-way street.



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2. Active involvement

The partners discuss what is coming up i.e. briefing before a section of the day's work "Next is the Welfare Committee, I have to present a brief report". At the end of the day a more thorough de-briefing covering the wider view of working practice, and a reflection on what both have learned.

Advantage: an excellent learning strategy, items don't wait too long to be discussed, a reasonable interaction.

Disadvantages: some interruption to the host's work, some need to adjust the roles according to the tasks, may take longer than fly-on-the-wall and have less opportunity for interaction than job-sharing.

3. Work shadowing as job sharing

The shadower is very much there and in the picture as the work progresses. If the host is working on their own the partners can spend a little time on running commentary. Where other people are involved the shadower can interact as much as seems reasonable. A round-up meeting and overview at the end of the day, with a reflection on what both have learned.

Advantages: minute-by-minute explanation, discussion and interaction.

Disadvantages: slows down and is more perturbing to the shadower's work, not really 'shadowing' - role is not clear.

To be worthwhile to both parties somewhere between 2 and 3 above would probably be the most beneficial.

Flexibility is the key and schemes may be agreed for a morning or an afternoon, a day, or a week.

Areas to be considered should include:

- Objective of the visit and areas of interest
- Agree confidentiality
- Discuss length of visit, dates, type of shadowing
- Discuss the programme outline.



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5. On the job training

On the job training (OJT) is another method of training and development. It may be structured or unstructured. Unstructured is when there is no set procedure for providing the training. Instead, workers simply learn from other, more experienced colleagues.

Each of the approaches will have advantages and disadvantages.

Unstructured OJT		Structured OJT	
Pros	Cons	Pros	Cons
<p>Flexible and informal way of learning</p> <p>Inexpensive as workers will normally share the same work venue</p> <p>Time efficient for trainee as little travel time involved where workers are based within same building</p>	<p>Training quality may be vastly different across colleagues</p> <p>Informality may mean no set time for OJT and may not happen regularly as other priorities (for either worker) take precedent</p>	<p>Greater control of training content and how it is delivered</p>	<p>Requires time from workers to serve as trainers which may be a considerable loss depending on the complexity of the role being trained for.</p>
	<p>Some experienced workers may be competent but lack the necessary skills of an effective trainer (e.g. they may explain things too quickly, not explain at all or provide too little opportunity for practice, or assume the learner already knows certain things)</p>	<p>Provides trainees with opportunities to learn by doing the very things they will have to do on the job</p>	



Other good practice guides

- With structured OJT, it is preferable to designate certain workers to be trainers and ensure that they follow appropriate procedures when training new or existing other workers.
- A trainer needs to be able to explain the reasons why certain practices and procedures are followed.
- Time must be allowed for the trainee to practice and to allow feedback to the trainee.

6. In-house training

In-house training, specifically designed for your organization can be a cost effective way to train a group of staff, volunteers or committee members. A training body or organisation can tailor specific training modules and courses to be run at a venue of your organisation's choice, either as they stand or modified to suit an organisation's needs.

Steer employees toward satisfying similar learning needs with a common solution. If you can group together those who need particular training you can make good savings e.g. in-house training - once you have at least six delegates to train, an onsite or in house training event can be cheaper than public scheduled courses. You can also save on travel expenses and team building is an added bonus!

The benefits are:

- Discussions more tailored to your needs and context
- Cost effective
- All staff receive info at same time and develop together

Ongoing training needs that are essential for all staff and vols may be put on for all in response to identified needs. This could include Health and Safety, IT skills, Equality and Diversity and so on. The project Co-ordinator is responsible for organising, identifying a suitable trainer, liaising with the trainer, arranging the administration of the event and ensuring evaluation (with advice and assistance from all relevant staff).

In some instances it may be necessary to involve members of the Management committee or particular training targeted at them specifically.

A sample expression of interest in house training form is below as an example.

7. Obtaining a qualification

National Vocational Qualifications

What is an NVQ?

NVQs (National Vocational Qualifications) were developed in the mid-1980s and aimed to provide a coherent and comprehensive system of vocational qualifications directly relevant to the needs of employment and the individual.



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NVQs are work-related competence-based qualifications that can be undertaken whilst a person is employed or volunteering for an organisation. To achieve an NVQ, candidates gather a portfolio of evidence to prove that they are competent to carry out their job role to the required standards. Candidates are assessed and observed through the process by a qualified assessor. People interested in undertaking NVQs should find one which reflects their job role.

For example, someone working as a receptionist might consider an NVQ in Customer Service; or someone working as a Housing Caseworker might consider an NVQ in Advice & Guidance or Legal Advice.

NVQs are based on NOS (National Occupational Standards) which are statements of performance that describe what competent people in a particular occupation are expected to be able to do. See below for further information about NOS.

What levels exist?

NVQs are available at various levels from 1 through to 5, and the appropriate level for a person to undertake depends on the level of responsibility and autonomy a person has in their role. For example, level 1 focuses on basic work activities and level 5 more complex activities that may be more suited to senior managerial roles.

Level 1	Competence that involves the application of knowledge in the performance of a range of routine and predictable work activities.
Level 2	Competence that involves the application of knowledge in a wider range of more varied work activities. Collaboration with others, perhaps through membership of a team, is often a requirement.
Level 3	Competence that involves the application of knowledge in a broad range of varied, non-routine work activities in a variety of contexts. The candidate has considerable autonomy, though often with the support of others. This level requires a higher degree of technical competence than 1 and 2 and candidates might have a supervisory capacity.
Level 4	Competence that involves the application of knowledge in a broad range of complex, technical or professional work activities performed in a variety of context and with a substantial degree of personal responsibility. The candidate might be responsible for the work of others or the allocation of resources.
Level 5	Competence that involves the application of a range of fundamental principles across a wide and unpredictable variety of contexts. The candidate will have substantial personal autonomy and significant responsibility for the work of others. The candidate may also be accountable for analysis, diagnosis, design, planning, execution and evaluation of complex tasks.



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How is an NVQ assessed?

NVQs use a range of assessment methods including: written evidence, oral question and answering, collection of work products and direct observation of the candidate in their role. NVQ assessment methods are flexible to meet the diverse needs of candidates. NVQs will not normally require a formal examination, however, the NVQ in Legal Advice is an exception to this.

How much time does an NVQ take?

This will depend on the level of the NVQ and the motivation of the candidate completing the NVQ. Usually, the higher the level, the longer the NVQ takes to complete. This is because more units need to be completed and more complex the evidence needs to be collected. Typically, a level 3 qualification will take approximately six months and a level 4 approximately nine months.

Where can I access NVQs?

Many further education and adult education colleges offer NVQ qualifications. There are also many additional assessment centres in both the voluntary and private sector. The Awarding Bodies' websites (for example, City & Guilds, the Open University etc) should contain details of your local assessment centre. AdviceUK offers NVQs in Advice & Guidance, Legal Advice, Management and Customer Service.

How much does an NVQ cost?

The cost of NVQs varies considerably depending on the provider organisation and the NVQ level. Typically NVQs cost anywhere between £800 and £1600. Free NVQs are now being offered through the government's Train to Gain programme. However, there are strict eligibility criteria in terms of accessing this funding, principally that candidates must not have any previous qualification above a level 2.

The future for NVQs

Diplomas, Certificates and Awards at all levels are gradually replacing NVQs and are also competence-based. They will be assessed in the same way as NVQs.

National Occupational Standards (NOS)

What are NOS?

NOS (National Occupational Standards) are statements of performance that describe what competent people in a particular occupation are expected to be able to do. Occupational standards describe the skills, knowledge and understanding needed to undertake a particular task or job to a nationally recognised level of competence.



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How can NOS be used?

They can be used to:

- Describe good practice in particular areas of work
- Set out a statement of competence which bring together the skills, knowledge and understanding necessary to do the work
- Provide managers with a tool for a wide variety of workforce management and quality control
- Offer a framework for training and development, and inform Continuous Professional Development records
- Form the basis of National Vocational Qualifications (NVQs)

How do NOS help employers?

- Improve quality of goods and services
- Increase productivity
- Reduce costs for recruitment by facilitating the selection of new employees
- Provide a means for better human resources planning
- Help effective skills upgrading
- Act as a benchmark for rewarding experience, knowledge and competence
- Can be used to write job descriptions based on clearly defined roles

How do NOS help employees?

- Identify skills and knowledge needed for occupations
- Provide a reference to assess ability and training needs
- Identify and support career paths
- Provide guidelines for certification/accreditation
- Increase mobility within industries

Who develops NOS?

Sector Skills Councils (SSCs) and standards setting bodies work with employers and partners to develop the Occupational Standards for the industries, sectors and occupations they cover. SSCs and standards setting bodies develop, maintain and update NOS as the needs of industry change, as work patterns shift, and as new operational practices, legislation and technologies are introduced. For example, Skills for Justice are the SSC for the Legal Advice NOS which have been used to develop the Legal Advice NVQ.

Degrees in Advice

There are universities that are now able to offer foundation degrees and degrees in advice. These courses are designed to enable those already working in the field to build on their work experience to gain a professional qualification, or those who are interested in gaining work experience and an appropriate qualification. They have been designed to meet the National Occupational Standards (NOS) and will meet the training needs of organisations that provide advice to the public. It will enable students to gain a



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higher education qualification by getting credit for their work-based learning, as well as developing their knowledge of key areas of advice and paralegal work. These courses are funded in the same way as all university undergraduate programmes.

7. Assessing learning styles using VAK - (Visual, Auditory, Kinaesthetic)

The VAK is one of a number of learning styles model that seeks to explain peoples preferred ways to learn. As with any methodology or tool, VAK should be used with care. It is not fool proof but should rather be treated as an aid or tool to assist in determining peoples preferred learning style.

First developed by psychologist and teaching specialists such as Fernald, Keller, Orton, Gillingham, Stillman and Montessori beginning in the 1920's it provides a multi sensory approach to teaching and learning and was originally concerned with teaching children with dyslexia and other learners for whom traditional methods were not effective.

The early VAK specialists recognised that people learn in different ways, for example, a child who could not easily learn words and letter by reading (visually) might for instance learn more easily by tracing letter shapes with their finger (kinaesthetic).

The VAK theory continues to feature in the teaching and education of young people.

In advice or wider voluntary setting it can be useful to help identify a persons preferred way of learning. Organisations should look at:

Learning style	Description
Visual	Seeing and reading
Auditory	Listening and speaking
Kinaesthetic	Touching and doing

According to the VAK model most people possess a dominant or preferred learning style. However some have a mixed and evenly balanced blend of the three styles.

A person's learning style is a reflection of their particular mix of intelligences, brain type and dominance.

Resource source: See Katherine Benziger's brain dominance model if you want to learn more.



Section 5: Approaches to developing your staff

VAK learning styles

The VAK learning styles model provides a very easy and quick reference by which to assess people's preferred learning styles. Most importantly it informs the design of learning methods and experiences that match people's preferences.

Visual learning style involves the use of seen or observed things, including pictures, diagrams, demonstrations, displays, handouts, films, flip chart and so on

Auditory learning style involves the transfer of information through listening to the spoken word, of self or others of sounds and noises

Kinaesthetic learning involves physical experience - touching, feeling, holding, doing, practical hands-on experiences. The word 'kinaesthetic describes the sense of using muscular movement - physical sense. Derived from the Greek word, kineo meaning move and aesthesis, meaning sensation. Kinaesthetic therefore describes a learning style that involves the stimulation of nerves in the body's muscles, joints and tendons; a moving sensation.

You can easily begin to assess your own or another's learning style within the Visual, Auditory, and Kinaesthetic model. See the exercise on the next page to work out yours.



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Exercise

Below are some of the common indicators contained in a questionnaire form to help you to determine your preferred learning style. This can be found at www.businessballs.com

VAK learning style indicators

		Visual	Auditory	Kinaesthetic/Physical
1	When operating new equipment for the first time I prefer to	Read the instructions	Listen to or ask for an explanation	Have a go and learn by 'trial and error'
2	When seeking travel directions I..	Look at a map	Ask for spoken directions	Follow my nose or maybe use a compass
3	When seeking travel directions I..	Follow a recipe	Call a friend for explanation	Follow my instinct, tasting as I cook
4	To teach someone something I..	Write instructions	Explain verbally	Demonstrate and let them have a go
5	I tend to say..	"I see what you mean"	"I hear what you are saying"	"I know how you feel"
6	I tend to say..	"Show me"	"Tell me"	"Let me try"
7	I tend to say..	"Watch how I do it"	"Listen to me explain"	"You have a go"
8	Complaining about faulty goods I tend to..	Write a letter	Phone	Go back to the store, or send the faulty item to the head office



9	I prefer these leisure activities	Museums or galleries		Music or conversation		Physical activities or making things	
10	When shopping generally I tend to..	Look and decide		Discuss with shop staff		Try on, handle or test	
11	Choosing a holiday I..	Read the brochures		Listen to recommendations		Imagine the experience	
12	Choosing a new car I..	Read the reviews		Discuss with friends		Test-drive what you fancy	
13	Learning a new skill	I watch what the teacher is doing		I talk through with the teacher exactly what I am supposed to do		I like to give it a try and work it out as I go along by doing it	
14	Choosing from a restaurant menu..	I imagine what the food will look like		I talk through the options in my head		I imagine what the food will taste like	
15	When listening to a band	I sing along to the lyrics (in my head or out loud!)		I listen to the lyrics and the beats		I move in time with the music	
16	When concentrating I..	Focus on the words or pictures in front of me		Discuss the problem and possible solutions in my head		Move around a lot, fiddle with pens and pencils and touch unrelated things	
17	I remember things best by..	Writing notes or keeping printed details		Saying them aloud or repeating words and key points in my head		Doing and practising the activity, or imagining it being done	
18	My first memory is of	Looking at something		Being spoken to		Doing something	



Section 5: Approaches to developing your staff

19	When anxious, I..	Visualise the worst-case scenarios	Talk over in my head what worries me most	Can't sit still, fiddle and move around constantly
20	I feel especially connected to others because of	How they look	What they say to me	How they make me feel
21	When I revise for an exam, I..	Write lots of revision notes (using lots of colours!)	I talk over my notes, to myself or to other people	Imagine making the movement or creating the formula
22	When explaining something to someone, I tend to..	Show them what I mean	Explain to them in different ways until they understand	Encourage them to try and talk them through the idea as they try
23	My main interests are	Photography or watching films or people-watching	Listening to music or listening to the radio or talking to friends	Physical/sports activities or fine wines, fine foods or dancing
24	Most of my free time is spent..	Watching television	Talking to friends	Doing physical activity or making things
25	When I first contact a new person..	I arrange a face to face meeting	I talk to them on the telephone	I try to get together to share an activity
26	I first notice how people..	Look and dress	Sound and speak	Stand and move
27	If I am very angry..	I keep replaying in my mind what it is that has upset me	I shout lots and tell people how I feel	I stomp about, slam doors and throw things



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28	I find it easiest to remember	Faces		Names	Things I have done
29	I think I can tell someone is lying because..	They avoid looking at you		Their voice changes	The vibes I get from them
30	When I'm meeting with an old friend..	I say "it's great to see you!"		I say "it's great to hear your voice!"	I give them a hug or a handshake
	Totals	Visual		Auditory	Kinaesthetic

A high score under any of the particular areas may indicate that the learner has a leaning toward one style of learning above another.

Again, use with caution these are a tool only. Go to www.businessballs.com for more information on VAK.



Tool to assess learning styles

Earlier we established that the most common learning assumption is that a learner will best benefit from traditional training, usually outside of the organisation and that a mixture of exercises, group work or whole group discussions will best meet the learning need.

However, the best approach may be to first carry out a learning styles assessment of workers before deciding upon the training or learning method.

The findings can then be incorporated into any form of learning agreed.

For example, if a worker identifies that she is a kinaesthetic learner, any learning programme ought to include opportunities for that worker to experiment, try things out rather than simply sit, listen and look.

A sample form is on the next page.

Good practice checklist

- ✓ Is traditional training really the best way of learning for your staff or should you consider other informal and non traditional methods first?
- ✓ Has coaching and mentoring been considered as a means for developing staff?
- ✓ Which form of work shadowing or on the job training will work best for you - fly on the wall, active involvement, work shadowing as a job share, structured or unstructured? Time and resources should help you to decide.
- ✓ Does a more formalised qualification better suit your workforce? If not why not consider an NVQ, Foundation Degree in Advice or other qualification route method of learning?
- ✓ Has a learning styles assessment such as VAK been carried out? Doing so can help your staff to decide which learning method best suits them.



Organisational Learning Styles Assessment Sheet

What kinds of learning courses do you offer at the moment?			
How do you know what learners want before designing the course?			
How do you know it responds to their learning style?			
What changes might make to ensure learner centric programmes offered?			
Actions to take with timeframes:			



Conclusion

Training need not be expensive, much of the training and development is free; the only requirements are imagination, commitment and a solid process to manage and acknowledge the development. We've looked at a few, but there are so many more and even this list is below is not exhaustive:

- On the job coaching
- Mentoring
- Delegated tasks and projects
- Reading assignments
- Presentation assignments
- Job deputisation or secondment
- External training courses and seminars
- Distance learning
- Evening classes
- Internal training courses
- Attending internal briefings and presentations e.g. lunch and learn events
- Special responsibilities that require obtaining new skills or knowledge or exposure
- Video
- Internet and e-learning
- Job swap
- Attachment to project or other teams
- Job swap
- Accredited outside courses based n new qualifications e.g. NVQs, MBA's

As a manager, supervisor, helping staff to develop is one of the greatest contributions you can make to their well being. Done well and utilising as many learning methods as are appropriate, your organisation can be rewarded with greater productivity, efficiency, and all round job satisfaction and staff sustainability.

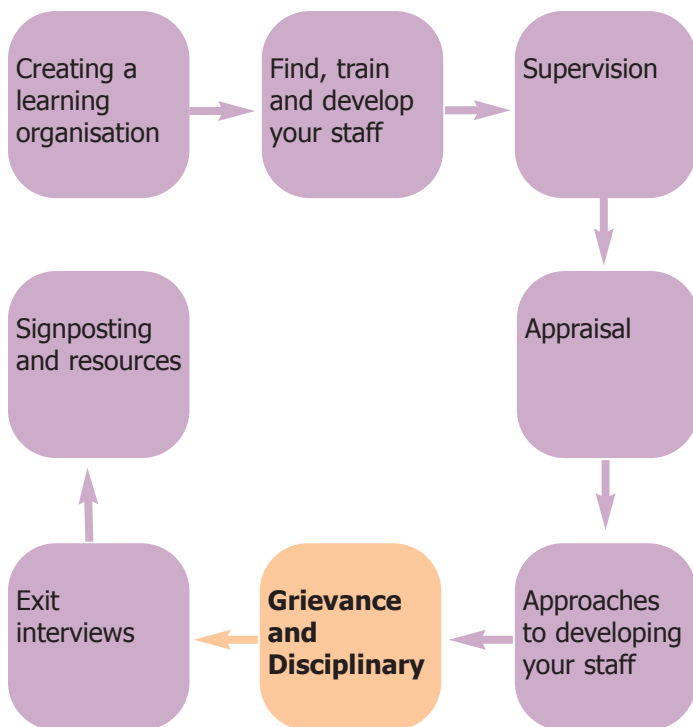


Section 5: Approaches to developing your staff

Section 6: Grievance and Disciplinary



6. Grievance and Disciplinary



This section looks at:

- **What Managers Say - Myths and Truths about Disciplinary and Grievance**
- **Disciplinary and Grievance procedures and the law**
- **Transitional arrangements**
- **New ACAS Statutory Code of Practice**

It is fairly commonplace for dissatisfaction to occur from time to time, even in the best run or happiest workplaces. Where this dissatisfaction relates to an employee's performance or conduct it becomes a disciplinary matter and where it relates to an employee's dissatisfaction with the employer, manager, the work or other employee(s) it becomes a grievance.

The term disciplinary procedure lends itself to being seen as being about crime and punishment when in fact, if properly used, is a management tool that sets down boundaries and assists in guiding and supporting staff towards better performance.

The voluntary or not-for-profit sector has traditionally taken a relatively easy going approach to poor performance or disciplinary matters often allowing matters to come to a head or reach crisis point or beyond before taking any action. This leaves it open for a member of staff to claim that they had never been informed about their lack of performance, or been given the chance to improve prior to being dismissed and therefore that the dismissal was unfair. There is equally the danger of allowing a situation to build to a point where any reaction becomes so severe that it turns out to be an over reaction which can often prove detrimental to an organisation should a case end up before an employment tribunal.

Compare this to the private sector where misdemeanours and under performance do not pass unnoticed and will not be tolerated. There is a 'ruthlessness' and clearer singular vision that ensures such matters are dealt with expeditiously.



Section 6: Grievance and Disciplinary

What Managers Say - Myths and Truths about Disciplinary and Grievance

We asked 10 advice centre managers to tell us their myths and truths about Disciplinary and Grievance. Their answers are below.

Myths	Truths
Entirely negative	Stressful
Power lies with employer	It's easier than you might think
Punishment	Tactical
[Always] ends in dismissal	Resolution [oriented]
Spells doom	Staged process
Once started its difficult to back down	Employee can take out grievance against employer
Small organisations ignore it at their peril	Straightforward but difficult to implement
	Two sides to every story

Properly used disciplinary procedures, especially the informal stages along with the links to supervision, can ensure that employees know the limits and the standards that are expected of them. Used as a support or development tool the procedures allow poor performance, competence or behaviour to be tackled at an early stage and certainly before it becomes ingrained or problematic. Disciplinary procedures should not be seen as the last resort only for use when a final warning or dismissal is the likely outcome.

Disciplinary and grievance procedures and the law

How disciplinary and grievance procedures sit within the current framework of employment law is complex. In October 2004 the Statutory Dismissal, Discipline and Grievance Procedures were introduced and had to be used where dismissal was a possible outcome of a disciplinary action - this also included redundancy, non-renewal of a fixed term contract and retirement. Failure to follow the Statutory Procedures would incur a financial penalty at an Employment Tribunal in the form of an uplift or reduction of between 10% and 50% of any compensation. Grievances were also subject to the Statutory Procedures and employees had to lodge a grievance before submitting a claim to an employment tribunal.

These procedures, which were prescriptive and involved a 3-step procedure, proved to be extremely complicated and onerous both in terms of operation and legal interpretation and were abolished from 06 April 2009. We are currently in a transition period where the following applies:

Transitional arrangements

The Statutory Procedures will continue to apply if the employer has initiated a disciplinary process before 6 April 2009 (i.e. a letter has been sent or the employee has already been dismissed or disciplined).



Section 6: Grievance and Disciplinary

In grievance cases the former system will continue to apply where the action on which the grievance is based:

- Occurred entirely before 6 April 2009; or
- Began on or before 5 April 2009 and is continuing beyond that date and the employee has lodged a complaint to an employment tribunal or has submitted a valid written grievance:
- On or before 4 July 2009 if it relates to a jurisdiction with a three-month time limit (e.g. a discrimination claim), or
- On or before 4 October 2009 if it relates to a jurisdiction with a six-month time limit (e.g. an equal pay claim).

New ACAS Statutory Code of Practice

The Statutory Procedures have been replaced by a revised ACAS (Advisory, Conciliation and Arbitration Service)

statutory Code of Practice <http://www.acas.org.uk/index.aspx?articleid=2174>

which is accompanied by a revised non-statutory ACAS Guide on discipline and grievance at work

<http://www.acas.org.uk/index.aspx?articleid=2179> . The Guide contains sample disciplinary and grievance procedures, sample letters and a useful guide on dealing with various types of absence.

The Code applies to all disciplinaries and grievances which take place on or after 6 April 2009.

The new Code does not apply to dismissals on the grounds of redundancy or the non-renewal of a fixed term contract. However, it does apply to disciplinary situations, including misconduct and poor performance as well as to grievances in the workplace.

Organisations should be aware that while a failure to use the Code is not in itself unlawful, employment tribunals will take the code into account in relevant cases. Tribunals will have discretion to vary any award by up to 25% for unreasonable failure to comply with any provision of the Code.

The Code is aimed at promoting the resolution of disciplinary and grievance issues in the workplace and ensuring that issues are dealt with in accordance with the basic requirements of fairness. It places an emphasis on the use of the informal stages and encourages the use of mediation - both in-house and external. The Code suggests that "A quiet word is often all that is required to resolve an issue."

Both the disciplinary and grievance procedures set out in the Code essentially retain the three-step process, but organisations will have greater flexibility than under the more rigid, former statutory procedures.

The Code sets out the basic requirements of fairness that will be applicable in most cases along with a description of the standard of reasonable behaviour in most instances. The

Good practice checklist

- ✓ Is your organisation in danger of taking an 'easy going' approach to poor performance or disciplinary matters?
- ✓ Has this led to matters coming to a head or to crisis point before any action is taken?
- ✓ Is the organisation aware that The Statutory Procedures have been replaced by a revised ACAS (Advisory, Conciliation and Arbitration Service) statutory Code of Practice?



Section 6: Grievance and Disciplinary

fairness of any procedure will be heavily dependant on whether an organisation has followed the principles enshrined in the Code when dismissing an employee. A failure by an organisation to comply with the Code will not, on its own, render that organisation liable for a claim but it will be taken into account by the tribunal when considering whether or not the organisation acted fairly. However, simply following the Code will not necessarily make a dismissal fair.

The new Code is far less prescriptive than the statutory procedures. It sets out a number of broad principles for handling disciplinary and grievance situations which, in general terms, simply constitute best practice. For instance:

- Employers and employees should raise issues promptly and deal with issues without unreasonable delay
- Employers and employees should act consistently
- Employers should carry out necessary investigations
- Employers should inform the employees of the problem and allow them to put their case
- Employers should allow employees to be accompanied at formal disciplinary and grievance meetings
- Employers should allow employees to appeal any formal decisions.

! Top Tip

Follow the ACAS code to avoid any award granted being varied by up to 25% for unreasonable failure to comply with its provision.

Organisations should now commence the process of reviewing their disciplinary and grievance procedures in light of the changes in the law. They should refer to the ACAS code and guide and make use of the samples it contains as the basis for their revised procedures. Further advice can be gained from ACAS, or PEACe, LVSC's Personnel and Employment Advice and Conciliation service.

For details of these agencies got to [Section 8: Signposting and Resources](#).



Section 6: Grievance and Disciplinary

Section 7: Exit Interviews



7. Exit Interviews



This Section looks at:

- How to carry out equalities monitoring in an exit interview
- Benefits of exit interviews

Here we look at exit interviews, their benefits, equalities monitoring in exit interviews and provide a sample exit interview form.

Exit interviews are a useful way for any organisation to find out why staff leave an organisation and what a worker may be dissatisfied with. They may also help the organisation to learn about itself, its structure and to improve the way 'things are done' in the future.

An exit interview allows an employer to find out the reasons why a worker is leaving and if there are any lessons that the organization or manager of the particular post can learn.

If an exit interview is done well it can help provide useful information for the future design of an existing job and help shape the job description and person specification.

A concern for some managers is that the interview may be used to criticise the organisation or manager if a worker is dissatisfied with the experience of working in the organisation.

How to carry out equalities monitoring in an exit interview

Adopt exit interviews as a means of finding out workers reasons for leaving, what they are dissatisfied with and to identify positive aspects of the job role that can be capitalised on.. Use it also to identify if there are any equalities based trends linked to those that are exiting the organisation. For example, have you noticed that a high percentage of your black and/or LGBT staff are leaving? Are the reasons they give



demonstrating any signs of discrimination? If yes, the organisation can use this data as the basis for taking action to improve upon equalities across the organisation.

The organisation can take action to resolve a structural or managerial issue and thereby decrease the number of workers that leave. Other non structural and managerial issues may be more difficult to deal with and/or prevent.

Its important to use the information gathered from the interview to inform future recruitment, equality issues and planning.

Questions to ask your workforce

1. Ask people about whether they felt that there were any barriers to their work and development within the organisation.
2. Ask how they think the organisation performs on equality and diversity issues, e.g. are policies clear and the importance of equality and diversity communicated well throughout organisation, services accessible, good employer, etc.
3. Monitoring - simply record equal opps figures in terms of who is leaving the organisation, much in the same way as you do when people join the organisation, and then look at this monitoring to identify any trends in people leaving (e.g. all BME people, all women, etc.) and reasons why.

A sample exit interview record is featured on the next page and can be adapted to suit your organisation's needs.

Benefits of Exit Interviews

Exit interviews should not be underestimated. They can help you to:

- Identify what work staff leaving actually do and whether it relates to their existing job descriptions
- Identify what the pressures staff face
- Obvious, but the reasons behind their decision to leave
- Help organisation decide what it can do to improve upon its support for new and future staff
- Identify any trends in who is leaving, particularly if you notice, for example, a majority of black or female staff keep on leaving for the same reasons
- Used properly it can help you plan improvements you'll make across organisation, department and assist you in how to retain staff
- Identify whether you need any new roles
- Whether the salary levels still reflect the work being done
- Help you plan for short, medium and long term changes across the organisation or department.

Good practice checklist

- ✓ Does the organisation carry out exit interviews with all its departing staff members?
- ✓ Does the exit interview take into account equalities monitoring?
- ✓ How does the information gathered from the exit interview feed back into organisational planning?



Section 7: Exit Interviews

! Top Tip

Treat exit interviews like an invaluable resource. They're free and if used correctly they can help inform how you recruit, your equalities strategy and how you develop and support your workforce.



Section 7: Exit Interviews

Sample Exit Interview

Name:

Role:

Department:

Start Date:

End Date:

Please rate your experience in the following areas. 1 denotes poor, 3 is fair and 5 is excellent

	1	2	3	4	5
Induction into the role and organisation					
Physical working environment					
Nature of your work					
Personal development opportunities					
Working relationships					
Managerial support and supervision					
Internal communication					
External communication					
Remuneration and other benefits					
Culture of organisation					



Please elaborate on any of the answers you have given:

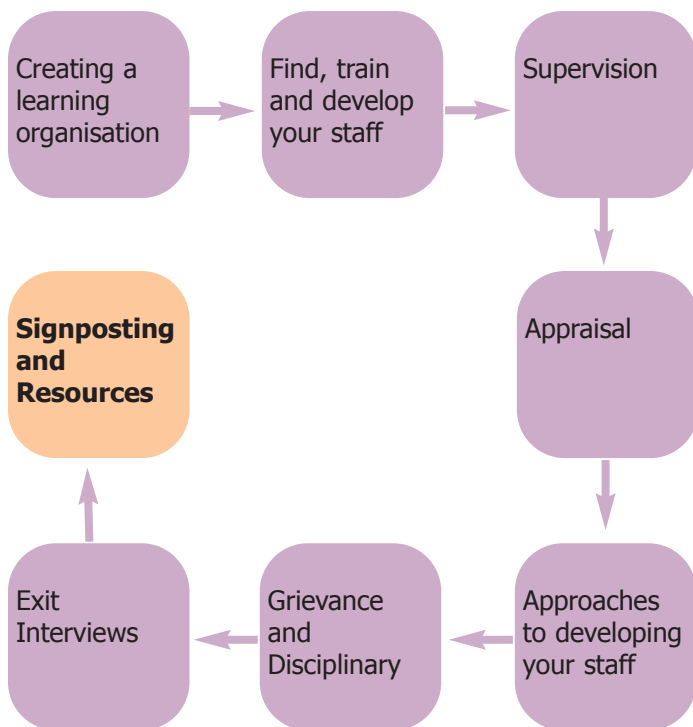
1. What is your main reason for leaving?
2. What could we have done to prevent this, if anything?
3. Do you feel that the job role and specification was accurate?
4. What has been the best thing about working for the organisation?
5. What has been the worst thing about working for the organisation?
6. What do you feel about the organisation?
7. Would you recommend us to other people as an organisation to work for?
8. Are there any other comments you would like to make?



Section 8: Signposting and Resources



8. Signposting and Resources



Useful resources

1. **ACAS** The aim of Acas (Advisory, Conciliation and Arbitration Service) is to improve organisations and working life through better employment relations.
www.acas.org.uk
Telephone Helpline: 08457 47 47 47
2. **BERR** (the Government Department for Business Enterprise and Regulatory Reform)
http://www.berr.gov.uk/whatwedo/employment/Resolving_disputes/statutory-dispute-resolution/page39823.html
3. **www.businessballs.com** - Free career help, business training, organizational development - inspirational, innovative ideas, materials, exercises, tools, templates are all for free
4. If the organisation is recruiting for a post that involves the employee working with children or other vulnerable people a **Criminal Record Bureau** check will be necessary. www.crb.gov.uk or call 0870 90 90 811. A new vetting and barring scheme came into effect on 12th October 2009 in addition to the current Criminal Records Bureau disclosure checks.

The Safeguarding Vulnerable Groups Act is a new piece of legislation and an independent Barring Board which has introduced a centralised vetting and barring system for people working with children and vulnerable adults. The three current barring lists (POCA, POVA and List 99) will be replaced by two



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new lists; the children's and vulnerable adults barring lists. Info from these will only be accessible by an enhanced Criminal Records Bureau (CRB check).

5. **Directory of Social Change** publications can be found at www.dsc.org.uk, including Managing Recruitment & Selection by Gill Taylor
6. **Essential Employment Menu** produced by the BAMER Outreach HR Advice & Support Project. This guide has been put together to help trustees of Black, Asian, Minority Ethnic and Refugee (BAMER) voluntary organisations with a wide range of employment issues that they might come across.
<http://www.lvsc.org.uk/files/101829/FileName/Essentialemploymentmenu.pdf>

The **BAMER Outreach HR Advice & Support Project** is a BLF funded project set up by London Voluntary Service Council (LVSC) as part of the Personnel, Employment Advice and Conciliation Service (PEACe) to increase Black, Asian, Minority Ethnic and Refugee (BAMER) Community and Voluntary sector organisations access to employment support.

Contact: BAMER Outreach HR Advice and Support Project or PEACe at:

Tel: 020 3349 8915 (BAMER Outreach HR Advice and Support Project) Monday to Thursday

Tel 020 3349 8921 (PEACe helpline open Monday to Thursday)

Email: peace@lvsc.org.uk

Web: www.lvsc.org.uk/peace

7. **Guardian Newspaper** <http://jobs.guardian.co.uk/>
8. National Occupational Standards (NOS) <http://www.skillsforjustice.com/template01.asp?pageid=37>
9. **PEACe** Telephone Helpline: 020 7700 8147 (London enquiries only)
General queries: 020 7700 8218
E-mail: peace@lvsc.org.uk
10. **Train to Gain** aims to fund those in work in certain sectors - paid or voluntary - to achieve an NVQ level 2 - & in some cases level 3 - so long as the learner has no qualifications in any subject above a level 2. Employers are often expected to contribute a proportion of the total cost.

The local learning & skills council decide on allocations for the various sectors & providers bid each year for an allocation running from August to July. This year, allocations are very small & restricted due to 'carryovers' from last year & reduced funding from the government. TtG is expected to continue until July 2011. Employers & staff may be expected to fund the majority of Workforce development in the future. The Tories have pledged to abolish TtG completely should they assume power in the next general election.



Section 8: Signposting and Resources