

## Policy for Appraisal of Support Staff

Adapted from LBC Policy

### 1. Introduction

- i) This procedure sets out how William Austin School will improve outcomes for children, by ensuring all school employees are motivated to update their skills and improve their performance. The School wants employees to perform their work to the highest possible standard they are able to achieve personally, in a positive working environment.
- ii) The appraisal procedure will also be used to address any concerns that are raised about an employee's performance. If concerns are such that they cannot be resolved through the appraisal process, there will be consideration of whether to commence the capability procedure.

### 2. Application of the appraisal policy

- i. This policy applies to all support staff following completion a probationary period. Probation applies to all employees employed on 'Green Book' conditions of service that are new to this school and do not already have more than 9 months continuous service.
- ii. Appraisal in this school will be a supportive and developmental process designed to ensure that all support staff have the skills and support they need to carry out their role effectively.
- iii. The appraisal period will run for 12 months with the start date depending on the date employment commenced. For staff who undertake a probationary period, appraisal will commence following successful completion of the probationary period.
- iv. The Head teacher will appoint an appropriate appraiser. If the Head teacher appoints an appraiser who is not the employee's line manager, the appraiser to whom she/he delegates those duties will have an appropriate position in the staffing structure, together with the necessary background knowledge, skills and training to undertake the role.
- v. Where it becomes apparent that the appraiser appointed by the Head teacher will be absent for the majority of the appraisal cycle, the Head teacher may perform those duties herself or delegate those duties to another employee for the duration of that absence.
- vi. Where a member of Support Staff is experiencing difficulties and the Head teacher is not the appraiser, the Head teacher may undertake the role of appraiser. See also section on Support Staff Experiencing Difficulties.

### 3. Reviewing performance & setting objectives

- i. There will be an annual appraisal meeting held with every employee. Team Performance Assessments may take place where it is considered either by a manager or by a team of individuals that the discussions would be more constructive than individual appraisal meetings. Team Performance Assessments are most appropriately used where a team of individuals all carry out the same duties and share the same objectives in the same area. In some circumstances an interim review meeting may be appropriate.
- ii. The annual appraisal meeting will review the employee's performance against the school standards and against any specific objectives set. The annual appraisal form, available at appendix one, sets out the school standards. The form includes space for comments from both the appraiser and the appraisee.
- iii. Performance may be reviewed in a number of ways, depending on the post held in school and the objectives set. Where appropriate, third party feedback may also be sought.
- iv. Following the review of past performance, objectives for the following year will be set. The objectives set will be Specific, Measurable, Achievable, Realistic and Time-bound and will be appropriate to the appraisee's role and level of experience. In setting the objectives, reviewers will have regard to what can reasonably be expected in the context of roles, responsibilities and experience, consistent with the school's strategy for achieving a work/life balance for all staff. Appraisee's may at any point append their comments alongside their objectives.

- v. Objectives may be revised if circumstances change. Should the objectives not be agreed, the final decision on allocation of objectives rests with the Head teacher.
- vi. The objectives set for each appraisee are intended to contribute to the school development plan, any specific team plan and the aspirations of the employee. Professional development will be linked to school improvement priorities and to the on-going professional development needs and priorities of individual employees.
- vii. The appraiser will take into account the effects of an individual's circumstances, including any disability, when agreeing objectives. For example, this might include a reasonable adjustment to allow an individual slightly longer to complete a task than might otherwise be the case. When staff return from a period of extended absence, objectives may be adjusted to allow them to readjust to their working environment.
- viii. An account of the training and development needs of support staff including the instances where it did not prove possible to provide the agreed CPD, will form a part of the Head teacher's annual report to the Governing Body about the operation of the appraisal process in the school. Account will be taken in any review meeting of where it has not been possible for support staff to fully meet their performance criteria because the support recorded in the appraisal form has not been provided.

#### **4. Support staff experiencing difficulties**

- i. When dealing with an employee experiencing difficulties, the objective is to provide support and guidance through the appraisal process in such a way that the employee's performance improves and the problem is, therefore, resolved.
- ii. Where it is apparent that an employee's personal circumstances are leading to difficulties at school, support will be offered as soon as possible, without waiting for the formal annual assessment.
- iii. If an appraiser identifies through the appraisal process, or via other sources of information, for example parental complaints, that the difficulties experienced by an employee are such that, if not rectified, could lead to capability procedures, the appraiser, the Head teacher, or a member of the leadership team, will, as part of the appraisal process give the employee at least 5 working days' notice (using the model invitation letter at Appendix 2) that a meeting will be held to discuss targets for improvement alongside a programme of support, and inform the employee that s/he has the right to be assisted by a companion\* at the meeting and at any future meetings where capability will be discussed;

\* The chosen companion can be one of the following only:

- A work colleague
- A Trades Union Representative\*
- An official employed by a Trades Union
- A 'support worker' may be allowed to accompany an employee with a disability, agreed in advance as a reasonable adjustment under the Equalities Act 2010

\*A trade's union representative who is not an employed official must have been certified by their trades union as being competent to accompany the employee. It is the employee's responsibility to check with their trades union that their chosen representative has been certified as competent. That certification must be provided in advance of any meeting.

**At this Informal Capability Meeting your appraiser, Head teacher or member of SLT, who may be assisted by a HR Adviser will:**

- give clear feedback to the employee about the nature and seriousness of the concerns;
- give the employee the opportunity to comment on and discuss the concerns;
- in consultation with the employee at the above meeting, an action plan with support will be established (for example coaching, training, in-class support where appropriate, mentoring), that will help address those specific concerns;
- confirm targets and make clear how progress will be monitored, by who and when it will be reviewed;
- confirm a review period of 6 working weeks and agree a date to meet to formally review progress
- explain the implications and process for transfer to capability procedures if no – or insufficient –

improvement is made.

- Advise that written feedback, confirming the content of the meeting will be provided (Please use model letter and Target and Monitoring Grid at Appendix 3).

The employee's progress will be monitored as part of the appraisal process and a reasonable time given for the employee's performance to improve. This will be for a period of 6 weeks, with appropriate support as agreed in the Action Plan, in order that the aim of recovering and improving performance can be achieved. During this monitoring period the employee will be given regular feedback on progress by the person monitoring their performance against the agreed targets and arrangements will be made to modify the support programme if appropriate.

At the 6-week review meeting, which will be conducted by the person who monitored performance over the six week period, performance against each target will be reviewed. The employee may be accompanied as per paragraph 4.3 and a HR Adviser may attend to advise the monitor.

If sufficient progress is made such that the employee is performing at a level that indicates there is no longer a possibility of capability procedures being invoked the employee should be informed of this at a formal meeting with the appraiser. (Please use model letter at Appendix 4). Following this meeting the appraisal process will continue as normal.

If no, or insufficient, improvement has been made over this period, the employee will be invited to attend a meeting with the Head teacher under the schools Capability Procedure.

## **5. Appeals**

- i. Appraisee's have a right of appeal against any of the entries in the written appraisal report. Details of the appeals process are available from the Head teacher or from the school Governing Body.

## **General principles underlying this policy**

### **Consistency of Treatment and Fairness**

The Governing Body is committed to ensuring consistency of treatment and fairness and will abide by all relevant equality legislation.

### **Sickness**

If long term sickness absence appears to have been triggered by the commencement of monitoring or a formal capability procedure, the case will be dealt with in accordance with the school's absence policy and will normally be referred to the occupational health service to assess the member of staff's health and fitness for continued employment and the appropriateness or otherwise of continuing with monitoring or formal procedures. In some cases it may be appropriate for formal procedures to continue during a period of sickness absence. However, the views of the occupational health physician will always be taken into account before a decision is reached.

### **Grievances**

Where a member of staff raises a grievance during the appraisal or capability process, the appraisal or capability process may be temporarily suspended in order to deal with the grievance. Where the grievance and appraisal or capability cases are related it may be appropriate to deal with both issues concurrently.

### **Confidentiality and Professional Relationships**

The appraisal and capability processes will be treated with confidentiality. Only the appraiser's line manager or, where s/he had more than one, each of her/his line managers will be provided with access to the appraisee's plan recorded in her/his statements. This will be done upon request and only where this is necessary to enable the line manager to discharge her/his line management responsibilities. Appraisees will be consulted on requests for access to statements in the context of this policy.

However, the desire for confidentiality does not override the need for the Head teacher and Governing Body to quality-assure the operation and effectiveness of the appraisal system. The Head teacher or appropriate colleague might, for example, review all employees' objectives and written appraisal records personally – to check consistency of approach and expectation between different appraisers.

### Monitoring and Evaluation

The Governing Body and Head teacher will monitor the operation and effectiveness of the school's appraisal arrangements.

The Head teacher will provide the Governing Body with a written report on the operation of the school's appraisal and capability policies annually. The report will not identify any individual by name. The report will include an assessment of the impact of these policies on:

- Race
- Sex
- Sexual Orientation
- Disability
- Religion and Beliefs
- Age
- Part-time Status
- Maternity and Pregnancy

The Head teacher will report on whether there have been any appeals or representations on an individual or collective basis on the grounds of alleged discrimination.

### Record Retention

The Governing Body and Head teacher will ensure that all written appraisal records are retained in a secure place for six years and then destroyed.

This policy will be monitored and reviewed by the Headteacher on an annual basis.

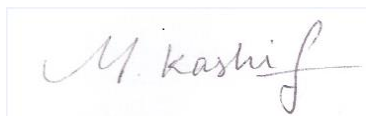
Policy updated: May 2022

Staff responsible: Sally Bacon

This policy was ratified by the Governing body on:

This policy was ratified by the Governing Body on: 25<sup>th</sup> May 2022

Signed on behalf of the Governing Body:



(signature)

M. Kashif - Chair of Governors

(printed)

**Appraisal Form**

Name.....

Post .....

Appraiser .....

Date of Meeting .....

**Past Years General Standards & Objectives**

<u>Standard</u>	<u>Performance</u>
<b><u>Time keeping</u></b>	
<b><u>Meeting Job Requirements</u></b>	
<b><u>Overall Standard of work</u></b>	
<b><u>Initiative</u></b>	
<b><u>Relationship with colleagues</u></b>	

**Appraisee's comments**

**Any Objectives set for the previous year**

<b><u>Objective</u></b>	<b><u>Progress/Outcome</u></b>

**Appraisee's Comments**

**Professional Development**

<b><u>What needs developing?</u></b>	<b><u>How will this be achieved?</u></b>

**Objectives for the year ahead**

Will relate to:

- School development plan
- Team Plans
- Professional development

<b><u>Objective</u></b>	<b><u>Success Criteria</u></b>

Signed Appraisee.....Date.....

Signed Appraiser .....Date.....

## SUPPORT STAFF APPRAISAL

**MODEL LETTER - Invite to ~~Formal~~ Informal Appraisal meeting**

I am writing to request your attendance at a meeting, to

- Give you feedback about concerns in relation to your performance and how it needs to improve
- Give you the opportunity to comment on the concerns
- Identify support that will be useful to you in addressing those concerns
- Identify a review date and a mechanism for monitoring
- Discuss the next steps in the process.

The meeting will take place on (date), at (time), in my office. I will be supported by (name of HR Adviser) at that meeting. *\*(I have also invited (name), as your line manager if different from appraiser.) \*(I have also invited (name) from SLT to provide support) \* delete as appropriate, please note that either the line manager or member of SLT can attend, not both.*

You may be accompanied by a companion. Details of who a chosen companion may be, are provided in paragraph number of the Appraisal Procedure for Support Staff I Schools with delegated Budgets, a copy of which is enclosed.



## SUPPORT STAFF APPRAISAL

**MODEL LETTER – outcome of Informal Capability meeting**

I write to confirm the discussion which took place at our recent meeting on (date).

At the meeting we considered areas for your development with reference to your Job Description and the objectives set during your most recent appraisal period. The principal areas of concern are as follows:

- (Areas of concern)
- 
- 

You commented that ...(include any comments made by the employee in response)

We agreed the following specific targets as a realistic expectation of you in your post as (post title):

- (Targets)
- 
- 

Achievement in these areas will be monitored by (name).

In addition to the support and training which has already been given to you (may wish to insert) we agreed to put in place the following, in order to assist your development:

- (Support and training)
- 
- 

This is set out in more detail in the attached sheet.

Progress will be reviewed by (name) on (date).

It is important for me to emphasise that the school will work with you with the aim of helping you achieve and maintain a satisfactory level of performance in the areas identified above. However, if progress at our review meeting is insufficient I shall have no alternative but to move into the school's formal Capability Procedure, a copy of which is enclosed.

Please have no hesitation in seeking clarification or further support if you feel this would help.

**IMPROVEMENT PLAN**

**TARGETS AND MONITORING**

<b>TARGET</b>	<b>SUCCESS CRITERIA AND EVIDENCE TO BE USED</b>	<b>SUPPORT AND TRAINING</b>	<b>MONITORING NOTES</b>

**REVIEW DATE** -- \_\_\_\_\_

**SUPPORT STAFF APPRAISAL**

**MODEL LETTER – RECORD OF SATISFACTORY REVIEW**

I write to confirm the outcome of our review meeting. At that meeting we reviewed your progress against your Job Description and the objectives set during your most recent appraisal.

- (Targets)
- 
- 

I am pleased to confirm that you have made/are making sufficient progress in meeting an acceptable level of performance in these areas. Therefore, the appraisal process will continue to apply and your performance will be managed in accordance with the school's Appraisal Procedure.

It is, of course, very important that this improvement is sustained. In the event that this should not be the case, then the school's Capability Procedure will apply.

Please have no hesitation in seeking clarification or further support if you feel this would help.

**SUPPORT STAFF APPRAISAL****MODEL LETTER – transition to Capability Procedure**

I write to confirm the outcome of our review meeting. At that meeting we reviewed your progress against the objectives set at the Informal Appraisal Meeting.

- (Targets)
- 
- 

As a result of our meeting I regret that I consider insufficient/no progress has been made in meeting an acceptable level of performance in these areas. The Head teacher will now hold a First Formal Capability meeting with you as per paragraph one of the school's Capability Procedure. At the meeting the Head teacher may conclude that there are insufficient grounds to pursue capability and that the appraisal procedure will apply, adjourn to obtain additional information or issue a formal warning and commence monitoring under the Capability Procedure for Support Staff.

The meeting will take place on (date), at (time), (venue). The Head teacher will be advised by (name) at that meeting. You may be accompanied at the meeting by a companion. Details of who a chosen companion may be are provided in paragraph **NUMBER** of the Capability Procedure for Support Staff in Schools with Delegated Budgets. A note taker will be in attendance to record the main points of the discussion at the meeting. I will also be in attendance.

The purpose of the meeting is to

- Give you feedback about concerns in relation to your performance and give you guidance on how it needs to improve
- Give you the opportunity to comment on those concerns
- Discuss the support available to you to address those concerns
- Set out the timetable for improvement and how performance will be monitored and reviewed.

Please be advised that the outcome of this meeting may be a formal warning that failure to improve in the period set may result in your dismissal.

Please have no hesitation in seeking clarification or further support if you feel this would help.