



# **SCHOOL APPRAISAL POLICY FOR SUPPORT STAFF**

**Adopted by:** Holmwood School

**Date:** 26.11.18

## **SUPPORT STAFF APPRAISAL POLICY**

### **1.0 PURPOSE**

- 1.1 This policy sets out the framework for a clear and consistent assessment of the overall performance of support staff and for supporting their development needs within the context of the school's plan for improving educational provision and their own professional needs.
- 1.2 The appraisal period will also be used to address concerns that are raised about an employee's performance. (see 8.2.3 for further information) If concerns are such that they cannot be resolved through the appraisal process, there will be consideration of whether to commence the capability procedure.

### **2.0 APPLICATION OF THE POLICY**

- 2.1 The policy applies to all support staff employed by the school except:
- those on contracts of less than one term
  - those undergoing a probationary period
  - those who are the subject of capability procedures.
- 2.2 Support staff who are employed on fixed term contracts of less than one year will have their performance managed in accordance with this policy however the length of the period for appraisal will be determined by the duration of the contract.

### **3.0 APPRAISAL PERIOD**

- 3.1 The appraisal period is annual from 1<sup>st</sup> September to 31<sup>st</sup> August, with written documentation completed by 31<sup>st</sup> October. (*amend dates as appropriate*)
- 3.2 Where an employee starts their employment/new role at the school part-way through the cycle the Headteacher will determine the length of the first cycle, with a view to bringing it into line with the cycle for other employees.
- 3.3 In these cases it should be accepted by both parties that the scope of the discussion and action to be agreed may be limited at the first meeting. This meeting should take place within the 1<sup>st</sup> month of commencing employment/new role.

### **4.0 PROBATIONERS**

- 4.1 An appraisal meeting will be carried out after a new employee has completed their probationary period.

## **5.0 APPOINTING APPRAISERS**

- 5.1 The Headteacher will decide who will appraise each employee, this will usually be the immediate line manager or supervisor.
- 5.2 Where it becomes apparent that the appraiser appointed by the Headteacher will be absent for the majority of the appraisal cycle, the Headteacher will delegate those duties to another manager for the duration of that absence/the current appraisal cycle.
- 5.3 Where an employee is experiencing difficulties and the Headteacher is not the appraiser, the Headteacher or a member of the leadership team may undertake the role of the appraiser.

## **6.0 QUALITY ASSURANCE AND MODERATION**

- 6.1 The Headteacher has determined that s/he will:
- be the appraiser of all employees
- or**
- delegate the appraiser role for some or all employees for whom s/he is not the line manager.

In these circumstances the Headteacher and/or a member of the leadership team will:

- moderate a representative sample of the objectives set to check consistency between those who have similar experience and similar roles and levels of responsibility;
- and**
- comply with the school's appraisal policy, the standards and the requirements of equality legislation.

## **7.0 SETTING OBJECTIVES**

- 7.1 Objectives for each employee will be set before 31<sup>st</sup> October and written documentation completed by 31<sup>st</sup> October effective from the start of each appraisal period. (1<sup>st</sup> September) (*amend dates as appropriate*)
- 7.2 A minimum of 2 objectives will be set, although this may be more depending on the nature of the job.
- 7.3 The objectives set will be Specific, Measurable, Achievable, Realistic and Time-bound and will be appropriate to the appraisee's role, responsibility and level of experience. They shall also take account of the employee's personal aspirations and work/life balance for all employees.

- 7.4 The appraiser and the employee will seek to agree the objectives but, if that is not possible, the appraiser will determine the objectives. If concerns are raised then they should be noted within the appraisal documentation and raised with the Headteacher by the appraiser. Objectives may be revised if circumstances change.
- 7.5 The objectives for each employee will 'feed-in' and 'support' those objectives of their manager and the overall objectives of the school improvement plan.
- for teaching support employees their objectives will support the teaching and learning of pupils and support their progress.
  - for administration employees their objectives will support the efficient workings of the team in relation to process, procedures and support to the Headteacher and Senior Leadership Team.
  - for lunchtime supervisors their objectives will support the safety and development of pupils.
  - for caretaking and cleaning employees their objectives will support the efficient running of the school and in providing a safe and clean environment for users of the school buildings and grounds.
- 7.6 The appraisal period is annual, but on occasions it may be appropriate to set objectives that extend beyond one period. In such cases, the basis on which the progress being made towards meeting the objective will be assessed at the end of the first period and will be recorded in the planning for the next period.
- 7.7 In addition to individual objectives all employees will have a set of behaviours which will be common to all employees within a particular role and grade. Measuring these behaviours is key to the appraisal process. (example behaviours are at Appendix A)

## **8.0 REVIEWING PROGRESS**

### **8.1 Development and Support**

8.1.1 Appraisal is a supportive process which will be used to inform continuing training and development.

8.1.2 The school wishes to encourage a culture in which all employees take responsibility for improving their performance through appropriate training and development. This will be linked to school improvement priorities and to the ongoing professional development needs and priorities of individual employees.

## 8.2 Feedback

8.2.1 Employees will receive constructive feedback on their performance throughout the year (eg termly or 6 monthly). *(please amend as appropriate)*

8.2.2 Feedback will highlight particular areas of strength as well as any areas that need development and attention. The model Planning and Review Statement at Appendix B can be used for both the employee and the appraiser to make comments.

8.2.3 Where there are concerns about any aspects of the employee's performance the appraiser will meet the employee to consider implementing a support plan. (HR advice may be sought) The support plan will:

- give clear feedback to the employee about the nature and seriousness of the concerns
- give the employee the opportunity to comment and discuss concerns
- agree any support (coaching, mentoring), that will be provided to help address those specific concerns
- make clear how, and by when, the appraiser will review progress.
- Explain that the support plan will be put in place for up to 4 weeks.
- **Explain the implications and process if no or insufficient improvement is made.**
- The support plan must be confirmed in writing.

8.2.4 When the progress is reviewed, if the appraiser is satisfied that the employee has made or is making sufficient improvement, the appraisal process will continue as normal, with any remaining issues continuing to be addressed through that process.

## 9.0 TRANSITION TO CAPABILITY

9.1 If the appraiser, supported by the Headteacher, is not satisfied with progress made during the support plan, the employee will be notified in writing that the appraisal process will no longer apply and that a Performance Capability meeting will be arranged.

## 10.0 ANNUAL ASSESSMENT

10.1 Each employee's performance will be formally assessed in respect of each appraisal period.

10.2 This assessment is the end point to the annual appraisal process, however performance and development priorities will be reviewed and addressed on a regular basis throughout the year at interim meetings

which will take place (eg: termly or 6 monthly).*(Please amend as appropriate)* Therefore there should be no surprises during a formal appraisal meeting. There will be other meetings that take place such as development meetings specific to school improvement requirements from Ofsted.

- 10.3 The employee will receive as soon as practicable following the end of each appraisal period, ideally within 5 working days, a written appraisal report.
- 10.4 Employees will receive their written appraisal reports by 31<sup>st</sup> October *(amend dates as appropriate)*.

The appraisal report will include:

- Details of the employee's objectives for the appraisal period in question
  - An assessment of the employee's performance of their role and the responsibilities against their objectives
  - An assessment of the employee's training and development needs and identification of any action that should be taken to address them
  - Any other information the appraiser deems appropriate
- 10.5 The employee will have an opportunity to comment in writing to the appraiser, who may then consult with the Headteacher if appropriate, within 5 working days of receipt of the written report. The model Planning and Review Statement at Appendix B can be used for this purpose.
- 10.6 The assessment of performance and of training and development needs will inform the planning process for the following appraisal period.
- 10.7 At the end of the appraisal period, assessment against an objective will be on the basis of the criteria set at the beginning of the cycle. Good progress towards the achievement of a challenging objective, even if the objective has not been met in full, will be assessed favourably.
- 10.8 The appraisal period is annual, but on occasions it may be appropriate to set objectives that extend beyond one period. In such cases, the basis on which the progress being made towards meeting the objective will be assessed at the end of the first period and will be recorded in the planning for the next period.

## **11.0 SICKNESS**

- 11.1 If long term sickness absence appears to have been triggered by the commencement of a support plan 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 employee's health and fitness for continued employment and the appropriateness or otherwise of continuing with the support plan or formal procedures.

- 11.2 In some cases it may be appropriate for formal procedures to continue during a period of sickness. However, the views of the occupational health physician will be taken into account before a decision is reached.

## **12.0 RECORD RETENTION**

- 12.1 The Governing Body and the Headteacher will ensure that all written appraisal records are retained in a secure place for six years and then destroyed.

## **13.0 CONFIDENTIALITY**

- 13.1 The appraisal process and the statements generated under it, in particular, will be treated with strict confidentiality at all times. Only the appraisee, the appraiser, the appraisee's line manager(s) and the Headteacher/Senior Leaders will be provided with access to the information.

- 13.2 The desire for confidentiality does not override the need for the Headteacher and Governing Body to quality assess the operation and effectiveness of the appraisal process. The Headteacher/Senior Leader may review all objectives and written appraisal records to check consistency of approach and expectation between different appraisers.

## **14.0 TRAINING AND SUPPORT**

- 14.1 Training and development needs will be identified during the appraisal process. The Headteacher will consider any budget implications and, where possible, appropriate training needs will be supported.

- 14.2 An account of the training and development needs of employees in general, including the instances where it could not be approved will form part of the Headteacher's annual report to the Governing Body on the appraisal process.

- 14.3 With regard to the provision of continuous professional development (CPD) in the case of competing demands on the budget, a decision on relative priority will be taken with regard to the extent to which: (a) the CPD identified is essential to meet the objectives of the appraisee; and (b) the extent to which the training and support will help the school to achieve its priorities.

The school priorities will have precedence. Employees should not be held accountable for failing to make good progress towards meeting their objectives where support identified to meet the objectives in the appraisal has not been provided.

## **15.0 EQUALITY STATEMENT**

- 15.1 The Governing Body is committed to ensuring consistency of treatment and fairness and will abide by all relevant equality legislation.
- 15.2 This policy must be applied fairly to all employees irrespective of age, disability, gender reassignment, marriage and civil partnership, pregnancy and maternity, race, religion or belief, sex or sexual orientation.

## Appendix A

### **Key Behaviours for Employees**

#### **All Employees**

##### Delivering results –

- Consistently delivers what is asked to the standard and timescale required.
- Strives to improve own performance at all times and sets high standards for self and others.
- Learns from experience and feedback that can be used to improve things in the future.

##### Thinking and problem solving –

- Asks questions to ensure all of the right information is gathered about a problem.
- Identifies potential issues and thinks them through in a logical and consistent way.
- Recognises when a current problem/issue is similar to a previous one and uses the experience to help the current situation.

##### Change –

- Gathers information/ideas that enable improvements on current practice.
- Is open to doing things in a different way.
- Receptive to and positive about change and responds quickly to adjusted priorities.

##### Working with others –

- Willing to share ideas and solutions with others.
- Actively seeks to understand others' point of view.
- Is proactive and seeks additional responsibility.

**Senior Employees** (in addition to the above)  
(eg HLTA, SBM)

Delivering results –

- Overcomes obstacles to achieve effective working practices.
- Is flexible and able to change approach to still deliver even if situations change.

Thinking and problem solving –

- Identifies potential problems and thinks through the implications to provide immediate improvements.

Change –

- Willing to challenge current working practices to bring about positive change.

Working with others -

- Is able to influence positively and constructively to get the best out of others.
- Celebrates success with team.

**MODEL PLANNING AND REVIEW STATEMENT – SUPPORT STAFF**

**Appraisee’s Name/Job Title:**..... **Appraiser’s Name:**.....  
**Date of meeting:**.....

**1. PLANNING STATEMENT FOR APPRAISAL PERIOD** (to complete at initial meeting)

Objectives for appraisal period including any relevant whole school/ year/ team/faculty/individual objectives:

OBJECTIVE	DATE FOR COMPLETION	SUPPORT/TRAINING REQUIRED TO HELP ACHIEVE OBJECTIVE
1.		
2.		
3.		
4.		

**Signed**..... **(Appraisee) Date**.....

**Signed**..... **(Appraiser) Date**.....

**2. INTERIM REVIEW OF CURRENT APPRAISAL PERIOD** (complete at interim review meetings to review progress/update/changes)

OBJECTIVE	APPRAISEE COMMENTS ON PROGRESS TO DATE	ON TRACK Y/N	APPRAISER COMMENTS ON PROGRESS TO DATE	ON TRACK Y/N
1.				
2.				
3.				
4.				

**Signed..... (Appraisee) Date.....**

**Signed..... (Appraiser) Date.....**

**3. REVIEW OF CURRENT APPRAISAL PERIOD** (to be completed at final review meeting)

OBJECTIVE	MET? yes/no/part	APPRAISEE COMMENTS	APPRAISER COMMENTS
1.			
2.			
3.			
4.			

**Signed..... (Appraisee) Date.....**

**Signed..... (Appraiser) Date.....**

**4. PERFORMANCE AGAINST BEHAVIOURS** (can be completed at interim and/or final review meeting)

Link to Appendix A

BEHAVIOUR	PERSONAL STRENGTHS	PERSONAL DEVELOPMENT NEEDS
Delivering results		
Thinking and problem solving		
Change		
Working with others		

**5. ADDITIONAL COMMENTS**

**Appraisee Comments**

Interim Review

Signed..... Date.....

Final Review

Signed..... Date.....

**Appraiser Comments**

Interim Review

Signed..... Date.....

Final Review

Signed..... Date.....