

Ormiston Academies Trust

Ormiston SWB Academy Support Staff Appraisal Policy

Policy version control

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In consultation with:	ASCL, ATL, GMB, NAHT, NASUWT, NUT, Unison
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Academies transferring to OAT after 01/09/2014	Academies are required to adopt OAT policies Academies should inform staff and Governors that this policy has been adopted and fully consulted with unions at national level prior to release.
Academies that transferred before 01/09/2014	The Principal should issue the policy to all staff and academy representatives for consultation over a calendar month. Once adopted, any further changes consulted with the JCC will follow the process of informing not consulting

Background

There are regulations determining the appraisal of teaching staff in maintained academies, but no comparable regulations or guidance have been published by the Government regarding support staff in academies.

In the document 'Academy support staff – the way forward' published in 2003 by the National Joint Council for Local Government Services they stated;

'for training and development policies to be effective, every member of staff must receive a rigorous, constructive annual appraisal leading to the development of an individual plan for development.

Following

the four-stage appraisal cycle for teachers of planning, development, monitoring and review, the process

should take account both of the employees' personal objectives and the academy's goals. It should be conducted as part of a cycle complementing that for teachers, so that shared learning objectives can be established'.

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1. Introduction

- 1.1 The aim of appraisal systems in OAT academies, is to improve the quality of education for the pupils through the development of staff, and to bring about specific benefits in personal and career development for our employees.
- 1.2 The Governors at Ormiston SWB Academy recognise that while there is no nationally agreed system of appraisal for support staff, appraisal is important, and the academy wish to recognise the contribution each member of the support staff makes by marking individual achievements and agreeing future areas of development.
- 1.3 Appraisal is intended to be a supportive process devised to ensure that all support staff have the skills and support they need to fulfil their role and develop their potential, both in terms of the priorities of the academy development plan and personal professional development.
- 1.4 The Principal is responsible for overseeing this policy and its correct implementation but may delegate this responsibility to a member of the Senior Leadership Team or other senior/middle or line managers.
- 1.5 Where there are concerns about any aspects of an individual's performance, which do not improve after feedback and additional support, then it may be appropriate to move to more formal capability procedures.
- 1.6 Access to the appraisal paperwork will normally be limited to the appraisee, the appraiser, the Principal and/or nominated member of the senior management team. The principles and provisions of the Data Protection Act 1998 will be followed at all times by those who have access to the documents. The Principal will ensure that all written appraisal records are retained in a secure place for six years and then destroyed.
- 1.7 The Governing Body is committed to ensuring consistency of treatment and fairness and will abide by all relevant equality legislation. The Governors responsible for taking decisions, or making recommendations, regarding pay, promotion, dismissal or disciplinary matters may also request access to the Principal's copy of the appraisal statement.

2. Objectives and Targets

- 2.1 The purpose of this policy is to set out the framework for an appraisal system to assess the overall performance of all members of the academy's support staff and for supporting their development within the context of the academy's development plan for improving educational provision and performance.
- 2.2 Pay for support staff is not linked to the appraisal process, staff with incremental head room will be able to progress up the pay scale unless they are on formal capability or have less than 6 months service when the probation policy will apply
- 2.3 The policy applies to all members of support staff employed by the academy, except those on contracts
- 2.4 of less than one term. Members of staff who are employed on a fixed-term contract or supply arrangement of at least one term but less than one year will be appraised in accordance with the principles underpinning this policy, the length of the appraisal period being determined by the duration of their contract.
- 2.5 The target is to develop and encourage a culture in which all members of staff take

responsibility for improving their performance by appropriate professional development linked to the academy's improvement priorities and to the personal professional development priorities of each member of staff.

2.6 It may be appropriate to work with groups for the purposes of target setting and review for example, Mid-day Supervisors or Catering staff, this will be at the direction of the Principal and discussed with the relevant area of the workforce.

3. Action Plan

3.1 The appraisal period will run for twelve months from April to April each year. The Principal will decide who will appraise members of the support staff, taking into account the roles and responsibilities of both appraisers and appraisees.

3.2 Appraisers could be:

- The Principal.
- A member of the Senior Leadership Team.
- A member of support staff who has a line management responsibility for the appraisee.
- A member of teaching staff who has a line management responsibility for the appraisee.

4. Setting Objectives

4.1 Objectives for each member of staff will be set before, or as soon as practicable after, the start of each appraisal period. The objectives set for each member of staff will be specific, measurable, achievable, realistic and time-bound (SMART) and will take into account:

- Relevant occupational standards.
- The individual's job description.
- The person specification relating to the individual's role.

4.2 Each member of staff will normally have three objectives. Where possible at least two of these objectives will be linked to the academy development plan while the third objective may be linked to the career aspirations or future training requirements of the member of staff concerned.

4.3 The appraiser and member of staff will seek to agree the objectives but, if that is not possible, the appraiser will determine the objectives. The appraisee may record their comments in writing as an appendix to the appraisal statement. Objectives may be revised if circumstances change.

4.4 Performance and development will be reviewed and addressed throughout the year, a 6-month review should take place as a minimum. At the end of the appraisal year, the annual assessment (appraisal) will take place.

5. Assessment

5.1 Before the appraisal interview, each appraisee will complete the self-appraisal form (see examples at **Appendix A and B** and pass it to their appraiser at least one week before their meeting. The appraisee should also review his/her job description before the appraisal meeting.

5.2 Each appraiser will similarly complete an audit of the appraisee's performance over the year. Appraisers should review a copy of the appraisee's job description. Where the appraiser indicates that performance is unsatisfactory, they will need to be in a position to back up their judgement by reference to written evidence **previously shared** with the member of staff.

5.3 The appraisal meeting then follows. Successful appraisal interviews need:

- Careful forethought.
- An agreed agenda, including an introduction by the appraiser to clarify the purpose of the interview.
- To be conducted in a calm atmosphere.
- Uninterrupted time.

5.4 The purpose of the meeting is to consider:

- The appraisee's job description.
- The appraisee's answers to the questions in the self-appraisal form.
- Whether objectives from the previous appraisal meeting have been achieved.
- Whether professional development recommendations from the previous appraisal meeting have been undertaken.
- Setting objectives for the coming year.
- Determining any professional development requirements.
- Any other points either party may wish to discuss.

5.5 The final document will be completed and signed by both parties and returned to the HR Officer, SLT Manager or Principal.

5.6 During the appraisal interview, notes may be taken by both parties, but the appraiser should not attempt to draft the statement during the interview.

5.7 The appraisal statement will include:

- Details of the member of staff's objectives for the appraisal period in question.
- An assessment of the member of staff's performance of their role and responsibilities against their objectives and the relevant standards.
- An assessment of the member of staff's training and development needs and identification of any action that should be taken to address them.
- Any other comments considered to be of value.

5.8 The assessment of performance and of training and development needs will form the basis for assessment of the appraisee during the next appraisal period.

5.9 The appraisee may record their comments in writing as an appendix to the appraisal statement.

5.10 The appraisee has the right to appeal against the outcome of their review and or the objectives set, and should they wish to do this they should write to the Principal or nominated Lead.

6. Monitoring and Evaluation

6.1 The Principal will discuss progress on support staff appraisal with the relevant managers at least annually. The Governors will be provided with an anonymised report annually on how effective the procedures have been.

7. Concerns About Performance

- 7.1 If at any point during the appraisal cycle evidence emerges which highlights concerns regarding performance the appraiser will arrange a meeting to discuss the concerns. The format for this meeting can be found in **Appendix C**
- 7.2 At this meeting the appraiser and staff member will seek to agree a period for improvement and support, if agreement is not possible the appraiser will determine this and a note will be made that agreement was not possible. The length of this period should be proportionate to the required improvements but should not exceed six weeks.
- 7.3 During this period all agreed support should be provided to ensure the best opportunity to improve performance.
- 7.4 Following the agreed review period, a review meeting will be held to evaluate the progress made. This meeting should follow the format detailed in **Appendix D**. There are three possible outcomes to this review:
- If the appraiser is satisfied that the staff member 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.
 - If the appraiser identifies improvement has been made but that there is still further progress required, a further review period may be agreed as part of this process.
 - If the appraiser is not satisfied with the level of progress made, the staff member will be notified in writing that their performance will now be managed under the capability procedure rather than appraisal. This will trigger the commencement of the formal capability procedure.

Appendices

Appendix A

Sample Self-Appraisal Form – pre-Appraisal meeting

Remember this is your opportunity to talk about what you do and how you contribute the success of the academy, we expect all staff to invest some time before the meeting to consider the questions below and how they can continue to add value to the academy and student outcomes and to develop and learn as an individual

To your review you should also take a copy of your current JD and your last objectives with outcomes for discussion

Self-Appraisal Form

Are there any parts of your job description that need updating or amending since your last appraisal?

Which parts of your work have given you the most satisfaction since your last appraisal?

Which parts of your work do you feel have not gone so well or have not been as effective as you thought might have been? Give reasons.

Record here any particular contributions/achievements that you have made to your department/area of work since your last appraisal.

What training have you received/ been involved in this year is there anything else you feel you need to do your role

What are your career goals, either inside or outside of the academy?

What 2/3 objectives do you feel would be appropriate for next year's targets?

Name	Department
Role	PM reviewer
Date	

Appendix B

Sample Objectives Record

Name	Department
Role	PM reviewer
Period of current objective review – dates	April to April

Objective Set (1)	Actions to Achieve Objectives
Outcome	

Objective Set (2)	Actions to Achieve Objectives
Outcome	

Outcome	

Career Aspirations

Reviewers overall comments

Employees overall comments

I can confirm that this is a true reflection of the PM review

Employee name	Sign and date
Reviewer name	Sign and date

Appendix C

Guidance note: Conducting meeting where performance concerns are identified through appraisal process

- Advise the member of staff that this meeting is held as part of the appraisal process. As this meeting there is no formal right to representation.
- Ensure the member of staff is provided with a copy of this policy.
- Reinforce things the staff member does well.
- Highlight clearly the specific areas of performance that are causing concern and discuss the evidence of this
- Ensure the member of staff has the opportunity to respond, provide reasons/explanation etc. for the performance shortfall.
- Ask the staff member if there are any underlying issues that may impact on performance, e.g. health, issues outside work etc.
- With areas of concern agree SMART targets that they should work towards, agree what support they feel would be beneficial and how performance will be monitored.
- A review period should be set, and interim review meeting agreed within this period. The length of this review period will be proportionate to the required improvements however it should not exceed six weeks.
- Offer a mentor if appropriate (NB: this should be someone not involved in monitoring the staff member's performance).
- Advise the staff member that if performance doesn't meet the required standards within the review period it may result in concerns being addressed under the capability procedure. Encourage the staff member to consult with their trade union for further support.

Appendix D

Review meeting, performance concerns.

Guidance note:

- Advise the staff member that this meeting is a review meeting held as part of the appraisal process.
- The appraiser should present evidence regarding the staff member's performance against the targets specified in the initial meeting.
- The staff member should be asked for their opinion regarding their performance against the targets.
- The staff member should be asked for their opinion on the support provided to date.
- The Principal/SLT Manager should adjourn the meeting at this point to consider the evidence.
- If sufficient improvement is made the appraisal process will continue as normal with any remaining issues continuing to be addressed through that process.
- If the appraiser is not satisfied with the level of progress made, the staff member should be notified in writing that their performance will now be managed under the capability procedure rather than appraisal. This will trigger the commencement of formal capability procedure.