

## THE SHROPSHIRE GATEWAY EDUCATIONAL TRUST

### Appraisal Policy for Support Staff

Author	Trust Business Manager
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## Appraisal Policy for Support Staff

This procedure has been agreed by the following professional associations/trade unions representing Teachers, Headteachers and Support Staff:

- National Union of Teachers
- National Association of Schoolmasters Union of Women Teachers
- Association of Teachers and Lecturers
- National Association of Headteachers
- Association of School and College Leaders
- UNISON
- GMB

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# Policy for Appraising Support Staff

## Purpose

This policy sets out the framework for a clear and consistent assessment of the overall performance of support staff and for supporting their development within the context of the school's plan for improving educational provision and performance, and the standards expected of all staff employed in the school

Under this policy the appraisal process will be used to address any concerns that are raised about performance through the provision of support and the monitoring and assessment of improvement. The policy also clarifies the actions that may be necessary where concerns over performance then remain and consideration needs to be given to whether action under the school's adopted capability procedure for support staff is necessary.

## Application of the policy

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. It will help to ensure that support staff are able to develop and to continue to improve their professional practice.

## The Appraisal Period

The appraisal period will run for twelve months from *1<sup>st</sup> September to 31<sup>st</sup> August*.

Support Staff who are employed on a fixed term contract of less than one year will have their performance managed in accordance with the principles underpinning this policy. The length of the period will be determined by the duration of their contract.

There is flexibility to have a longer or shorter appraisal period when support staff begin or end employment with the school with a view to bringing his/her cycle into line with the cycle for other support staff as soon as possible.

## Appointing Appraisers

The Headteacher will decide who will appraise support staff and can therefore delegate responsibility to other members of staff. Normally the appraiser will have line management responsibility for the appraisee and will have undertaken appropriate appraiser training. Where a member of support staff has an objection to the head teacher's choice, their concerns will be carefully considered, and where possible, an alternative appraiser will be offered.

Where it becomes apparent that the appraiser appointed by the head teacher will be absent for majority of the appraisal cycle, the head teacher may perform those duties himself/herself or delegate those duties to another appraiser for the duration of the absence.

If the headteacher appoints an appraiser who is not the 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.

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 the section on Feedback)

## Setting Objectives

Objectives for each member of support staff will be set before, or as soon as practicable after, the start of each appraisal period. The objectives set will be Specific, Measurable, Achievable, Realistic and Time-bound (SMART) and will be appropriate to the role and level of experience. They will be clearly defined and appraisers and appraisees will be clear about what success will look like and how progress will be measured.

No more than 3 objectives will be set for each appraisee.

A decision may be taken that a whole school or whole team objective may be included.

The appraiser will take into account the effects of an individual's circumstances, including any disability, when agreeing objectives. For example, adjusting objectives following an extended period of absence to allow them to readjust to their working environment.

The appraiser and appraisee will seek to agree the objectives but, if that is not possible, the appraiser will determine the objectives. Objectives may be revised if circumstances change.

The objectives set will, if achieved, contribute to the school's plans for improving the school's educational provision and performance and improving the education of pupils at that school. This will be ensured by quality assuring all objectives against the school development/improvement plan (see Quality Assurance and Consistency of Treatment and Fairness below).

Before, or as soon as practicable after, the start of each appraisal period, the member of support staff will be informed of the standards against which their performance in that appraisal period will be assessed.

The standards and objectives against which performance will be assessed will be reflected in a written appraisal report. An appraisal report template is attached at Annex 1. Part A is for completion at the start of the appraisal period indicating:

- the relevant standards against which performance is to be assessed.
- details of the objectives for the appraisal period in question.
- arrangements for classroom/workplace observations
- the success criteria for achievement of objectives and evidence to be considered
- any specific support arranged

Appraisers must ensure that set objectives are robust and measurable.

Appraisers should ensure they consider differentiation when setting objectives. If a member of staff holds a post of greater responsibility, then consideration should be given to more challenging objectives with greater impact on whole school initiatives.

## Reviewing Performance

### Review Meetings

An assessment of performance over the appraisal period is the end point to the annual appraisal process. Performance and development priorities will be reviewed and addressed on a regular basis throughout the year. Any interim review meetings agreed and arranged between the appraiser and the appraisee should be focused on specific issues related to performance and set objectives will be held on the following basis:

- Two review meetings during the appraisal period followed by a final meeting to assess performance and set new objectives and issue a written appraisal report, to take place after completion of the appraisal period in the Autumn Term but no later than 31<sup>st</sup> October

Where however at any time the appraiser has concerns about aspects of performance then a review meeting will be called in order that the concerns can be addressed in consultation with the headteacher (see section on Feedback below).

## Observation

This school believes that observation of classroom practice and other responsibilities is important both as a way of assessing performance in order to identify any particular strengths and areas for development they may have and of gaining useful information which can inform school improvement more generally. All observation will be carried out in a supportive fashion, broadly in line with the teacher's classroom observation protocol.

In this school performance will be regularly observed but the amount and type of observation will depend on the individual circumstances of the member of staff and the overall needs of the school.

Those with responsibilities outside the classroom should also expect to have their performance of those responsibilities observed and assessed.

## Development and Support

Appraisal is a supportive process which will be used to inform continuing professional development. The school wishes to encourage a culture in which all staff take responsibility for improving through appropriate professional development. Professional development will be linked to school improvement priorities and to the ongoing professional development needs and priorities of individuals.

## Feedback (including Support for Needed Improvement)

Staff will receive constructive feedback on their performance throughout the year. Feedback will acknowledge achievements and highlight particular areas of strength as well as any areas that need attention.

The appraiser and appraisee should feel that they are able to have an open and honest discussion with each other. In the event of concerns being raised it would be good practice for a member of staff to contact their **Trade union or professional association representative** for appropriate advice.

Where, through the appraisal process or from other sources of information there are concerns about any aspects of performance, the appraiser will meet the member of staff formally, 5 working days' notice (or less as appropriate with agreement) to:

- discuss the concerns
- give clear feedback about the nature and seriousness of the concerns.
  
- give the member of staff the opportunity to comment and discuss the concerns.
- agree any support (e.g. coaching, mentoring, observations) that will be provided to help address those specific concerns.
- make clear how, and by when, the appraiser will review progress (it may be

- appropriate to revise objectives, and it will be necessary for the appraiser to allow sufficient time for improvement. The amount of time is for the appraiser to determine but should reflect the seriousness of the concerns).
- explain the implications and process if no – or insufficient – improvement is made.

A written record of the discussion and an action plan should be drawn up and retained by the appraiser and the appraisee. Under this policy the timescale over which the performance will be supported, monitored and reviewed will be no more than 10 weeks.

Where the appraiser is not the headteacher and there are concerns about a member of staffs performance which the appraiser considers require the action described above, then prior to the meeting the appraiser will notify the headteacher who will consider the validity of the appraiser's judgement and offer guidance on the support to be provided and the timescale for improvement.

The headteacher may decide that they, rather than the appraiser, will hold a meeting, as described above, and that they will then be responsible for monitoring and reviewing progress.

Where the meeting outlined above is conducted by the appraiser, who is not the headteacher, they will provide the headteacher with a copy of the written record of the discussion and planned actions.

When progress is reviewed, if the appraiser and/or headteacher are satisfied that the member of staff has made, or is making, sufficient improvement, the appraisal process will continue as normal, with any remaining issues continuing to be addressed through the process.

### **Addressing concerns and possible use of the Capability Procedure**

It is hoped that supportive action under the appraisal process will enable staff to improve their performance to the level desired. If, however, the appraiser and/or headteacher is not satisfied with progress and serious concerns about performance remain, the member of staff will be notified of this in writing and advised to contact **their Trade union or professional association**. The headteacher, whether or not the headteacher is the appraiser, will consider the records and will determine whether there is a need to consider the concerns at a formal meeting conducted under the school's adopted capability procedure for support staff. As an outcome of that meeting it will be decided by the headteacher whether the performance will be managed under the capability procedure (in which case the appraisal system will no longer apply).

## Annual Assessment

Each member of staff's performance will be formally assessed in respect of each appraisal period.

The assessment will be covered at a meeting arranged for the purpose in accordance with this policy (see Reviewing Performance above).

The assessment should be reflected in the completed written appraisal report. The written appraisal report, which the appraisee receives following the appraisal period will include:

- an assessment of performance of role and responsibilities against their objectives.
- an assessment of the training and development needs and identification of any action that should be taken to address them.
- a recommendation on pay progression where that is relevant (Such recommendations must reflect the assessment of performance in the appraisal report and will be properly rooted in evidence derived from the achievement of appraisal objectives)

Part B of the appraisal report (Annex 1) is for completion at the end of period assessment.

The assessment of performance and of training and development needs will inform the planning process for the following appraisal period.

## Pay progression

For the majority of support staff pay progression is by increment on an annual basis on 1 September. When the top of the grade is reached no further pay progression is normally made unless the member of staff is changing role which attracts a higher grade and salary.

## Quality Assurance and Consistency of Treatment and Fairness

The governing body is committed to ensuring consistency of treatment and fairness in the operation of the appraisal process. In order to ensure this and to ensure that the policy contributes to the school's plans for improvement the following quality assurance arrangements are made:

The headteacher will delegate the appraiser role to other staff with line management responsibility. Where this is the case the headteacher, or another appropriate senior member of staff to whom has been delegated a quality assurance responsibility, will

look to ensure consistency of approach and expectation between different appraisers and will check appraisal reports as appropriate to ensure that they comply with this policy and the requirements of equality legislation. He/she will also ensure that that this policy is being applied consistently between those who have similar experience and similar levels of responsibility.

Where it is considered that the appraiser has not carried out his/her responsibilities in compliance with this policy then he/she may take such action as deemed necessary to ensure that they are complied with.

## Appeals

It is hoped that the appraiser and appraisee will reach agreement on the content of the written appraisal report. Whilst the appraiser can take a decision on content where agreement cannot be reached the appraisee will be afforded a right of appeal against entries with which they are not in agreement. They may be assisted in the Appeal by a companion who may be a **workplace colleague, a trade union representative or professional association representative**.

For a member of staff, the appeal will be to the headteacher where the appraiser is not the headteacher or, where the appraiser is the headteacher, to a committee of governors with delegated responsibility for hearing such appeals.

## General Principles underlying the Appraisal Policy

### Confidentiality

The appraisal process will be treated with confidentiality. 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 appraisal record should be regarded as a confidential document between the appraiser and the appraisee other than for the purpose of quality assurance as described under the paragraph 'Quality Assurance and Consistency of Treatment and Fairness'. Where a line manager is not the appraiser, he/she should be allowed access to the appraisal records for the purpose of discharging his/her line management responsibilities. Where this is felt to be necessary the member of staff will be told who has requested access and be made aware that access is being granted.

### Delegation

Normal rules apply in respect of the delegation of functions by governing bodies, headteachers and this is reflected by the policy.

## Monitoring and Evaluation

The governing body and headteacher will monitor the operation and effectiveness of the school's appraisal arrangements. For this purpose, the headteacher will provide for the governing body a written annual report for consideration at its autumn term meeting.

The report should include:

- The operation of the appraisal policy
- The effectiveness of the school's appraisal procedures
- Training and development needs

The report will not contain any information which would enable any individual to be identified.

The Governing Body is committed to ensuring that the appraisal process is fair and non-discriminatory and the following monitoring data should be included in the head teacher's report because they represent the possible grounds for unlawful discrimination:

- Race
- Sex
- Sexual orientation
- Disability
- Religion and belief
- Age
- Part-time contracts
- Trade union/ professional association membership.

The head teacher will also report on whether there have been any appeals or representations on an individual or collective basis on the grounds of alleged discrimination under any of the categories above.

## Retention

The governing body and headteacher will ensure that all written appraisal records are retained in a secure place for six years and then destroyed.

**Annex 1**

**CONFIDENTIAL  
APPRAISAL REPORT (Part A)**

**Appraisal Period:**

**Appraisee's name:**

**Appraiser's name:**

Relevant standards against which performance is to be assessed:
Objectives for the appraisal period (may include relevant whole school/team objectives):
Confirm arrangements for planned observations including feedback arrangements:
Criteria for successful achievement of the objectives set and evidence to be considered:
Support:
Timescales for completion:

**Signed (Appraisee):**

**Signed (Appraiser):**

**Date:**

**CONFIDENTIAL  
APPRAISAL REPORT (Part B)**

**Appraisal Period:**

**Appraisee's name:**

**Appraiser's name:**

Assessment of the appraisee's performance against relevant standards and objectives set (Confirm objectives Met, not met, partially met):

Identified training and development needs and action/support to address them:

**Headteacher Use Only:**

Where relevant, recommendation for pay progression:

**Signed (Appraisee):**

**Signed (Appraiser):**

**Date:**

## 8.0 Implementation Plan

Is training required to implement this policy?

Yes  No

If Yes, how will this be delivered and by whom?

To which groups of staff does this policy need to be issued?

*All school staff and Trustees.*

How will the policy be issued and by whom?

*Via email from Head teachers  
Via Chairs of LGB*

Date adopted by Local Governing Body:

Signed:

**Appendix - Equality impact assessment screening form**

Section one: screening for impact	
Name of policy	Appraisal policy for Support Staff
Project lead completing assessment:	G Bradley
Position:	Trust Business Manager
1. What is the main purpose of the strategy/project/policy?	
<p>This policy sets out the framework for a clear and consistent assessment of the overall performance of support staff and for supporting their development within the context of the school’s plan for improving educational provision and performance, and the standards expected of all staff employed in the school</p> <p>Under this policy the appraisal process will be used to address any concerns that are raised about performance through the provision of support and the monitoring and assessment of improvement. The policy also clarifies the actions that may be necessary where concerns over performance then remain and consideration needs to be given to whether action under the school’s adopted capability procedure for support staff is necessary.</p>	
2. Who will be the main stakeholders/users of the policy? Please consider the impact of the policy on the different groups of stakeholder /users.	
Support Staff	
3. Have you already consulted with people about this work? If yes, briefly describe what you did and with whom. Is there any external or additional research that you can use to support the development of this policy?	
Shropshire policy, professional associations see page 1 of policy for consultation	

4. Use the table to show:

- Where you think that the policy could have a negative impact on any of the equality strands, that is, it could disadvantage them – if no impact please note the evidence for this.
- Where you think that the strategy/project/policy could have a positive impact on any of the groups or contribute to promoting equality, equal opportunities or improving relationships within equality characteristics.

	Positive impact	Negative impact	No impact	Reason and evidence (provide details of specific groups affected even for no impact)
Age			x	
Disability			x	
Gender			x	
Gender identity			x	
Sexual orientation			x	
Race			x	
Religion or belief			x	

5. If you have indicated there is a negative impact on any group, is that impact:		
Legal? (not discriminatory under anti-discriminatory legislation)	Yes <input type="checkbox"/>	No <input type="checkbox"/>
Intended?	Yes <input type="checkbox"/>	No <input type="checkbox"/>
Level of impact?	High <input type="checkbox"/>	Low <input type="checkbox"/>

If the negative impact is possibly discriminatory and not intended and/or of high impact you must complete a full equality impact assessment. If not, complete the rest of section one below.	
6. Could you minimise or remove any negative impact that is of low significance? Could you add any additional action to have a positive impact rather than no impact?	
7. If there is no evidence that the strategy, project or policy promotes equality, equal opportunities or improved relations – could it be adapted so that it does? If so, explain how.	
8. Please list the outcome following this equality impact assessment (this could be no changes, some changes, further work needed around particular groups or cease development of the policy).	
Signed: G Bradley	Date: September 2021