



Royal Wootton Bassett Academy Trust Support Staff Appraisal Policy

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Relevant Legislation:

General Data Protection Regulation ((EU) 2016/679)
Data Protection Act 1998

Related Policies:

Support Staff Pay Policy

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Introduction

Appraisals in our schools should be a supportive and developmental process. They are designed to ensure that all support staff have, or fully develop, the skills and access to support they need to carry out their role as documented by their role profile, effectively. It will help to ensure that our support staff are able to continue to improve their professional practise and to develop in their role.

This policy applies to all support staff, except those on contracts of less than one term, those undergoing induction and those who are subject to the Trust's Capability Policy. It does not apply to agency workers.

Employees within a probationary period are, in addition, subject to the Trust's Probationary Policy. Where an employee is not covered by this policy, then performance will be managed through regular supervision and feedback.

This policy does not form part of any employee's contract of employment and may be amended at any time.

The Appraisal Period

The support staff appraisal period runs for twelve months' line with the Teachers Appraisal period.

Employees who are employed on a fixed term contract of less than one year, but more than one term, 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.

Appointing Appraisers

The Headteacher of your School will decide who will appraise you.

You will be notified of who your appraiser will be, before or as soon as practicable, after the start of each appraisal period. Usually this will be your direct line manager unless there are reasons for separating this process out due to limiting the number of appraisals by one appraiser.

Setting objectives

Objectives for each employee will be set before, or as soon as practicable, after the start of each appraisal period. The objectives will be Specific, Measurable, Achievable, Realistic and Time-bound (SMART) and will be fair, reasonable and appropriate to your role and competence within it. Ideally you should agree your objectives with your manager but if that is not possible, your manager will determine appropriate objectives for you. Your objectives may also be revised if circumstances change during the appraisal period.

The objectives set for each employee will, if achieved, contribute to the school and Trust's plans for improving educational provision and performance and improving the education of students. The Headteacher of your School together with the Senior Leadership Team will be responsible for quality assuring objectives set across the whole school against the School's Improvement Plan. If you work in the central MAT Team, your manager will quality assure your objectives against the Trusts overall philosophy.

Your performance will be assessed against the relevant standards available on perspective, which contribute to our aims and provide a guide for employees in their relevant role:

- ❖ Professional Standards for Business Managers/Bursars/Office Managers
- ❖ Professional Standards for Teaching Assistants
- ❖ Professional Standards for Administrative Staff
- ❖ Professional Standards for Facilities Management
- ❖ Professional Standards for Human Resources/Marketing
- ❖ National Occupational Standards

Reviewing performance

We understand the importance of monitoring and reviewing performance. Your manager will use this to identify your strengths and give positive feedback and praise, plus identify potential areas for development. An annual review and regular reviews provide a way to gain useful information which can inform improvements in the school generally.

Development and support

Appraisal is a supportive process. We expect you to take responsibility for improving your performance in your role and for your own professional development. Agreed training and professional development will be linked to your school Improvement priorities and where possible, to the ongoing professional development needs and priorities of individuals. We are committed to supporting appropriate and reasonable development to not only assist you in your role but to lead to improvements in performance across the Trust.

Feedback

You will receive feedback on your performance throughout the year and as soon as practicable after an observation has taken place (where applicable) or other evidence has come to light. Feedback can highlight particular areas of strength as well as any areas that need attention. Often, feedback during the appraisal period can resolve issues without the need for any formal action.

Where there are concerns about any aspects of your performance your manager will meet you to:

- ❖ Give clear feedback about the nature and seriousness of the concerns
- ❖ give you the opportunity to comment and discuss the concerns;
- ❖ find out if there are any issues (both in and outside of work) that are affecting your performance that your manager can assist you with or provide support;
- ❖ make clear what improvements need to be made and how this can be achieved;
- ❖ agree any support (for example coaching, mentoring, training, structured conversations, observing other in a similar role etc) that will be provided to help address those specific concerns;
- ❖ make clear how, and by when, you and your manager will review progress either by setting new and clear objectives which will be assessed during the review period or by revising current objectives. Sufficient time for improvement will be allowed; the amount of time for this should reflect the seriousness of the concerns. This will be an informal review period;
- ❖ explain the implications and process if no – or insufficient – improvement is made during the informal review period i.e. the application of the capability policy.

This meeting can happen at any time during the appraisal period. It is designed to be a supportive meeting to address issues early to avoid the matter escalating and giving you the opportunity to improve. At the meeting, your manager will present evidence collected that indicates that your performance is not up to the required standard. You have no right to be accompanied to this meeting. Although this is part of an informal process, a note of the meeting will be made and a copy given to you so that you are clear about the support that you will be given, what improvements need to be made and the timescales.

An informal review period will follow this meeting; the length will be determined by your manager based on the individual circumstances of the situation but it should not be unduly long. During the informal review period, regular meetings should take place to ensure progress is being made.

At the end of this informal review period when progress is reviewed, if your manager is satisfied that you have made, or are making sufficient improvement, the appraisal process will continue as normal, with any remaining issues continuing to be addressed through that process. If performance is improving but your manager feels that further time is required to monitor improving performance, he or she can decide to extend the informal review period but it should not be unduly long. If no or insufficient improvement is being made, then the process set out below should be followed. It will be for your manager to decide which procedure will be followed.

Annual assessment

Performance and development priorities will be reviewed and addressed throughout the process and an interim appraisal meeting may take place at the mid-point of the cycle to review performance and progress towards objectives. Any concerns will be noted and an appropriate support plan will be put in place for the remainder of the cycle. The support plan will set out what improvement is required and what support will be provided.

An annual assessment is the end point to the annual appraisal cycle and will formally assess your performance in respect of that cycle. You will receive a written appraisal report as soon as practicable afterwards and have the opportunity to comment on it in writing. The appraisal report will be a summary of the performance during the year and set out what your development needs are for the next year. In particular, the report will include:

- ❖ details of the objectives for the appraisal period in question
- ❖ an assessment of performance against objectives and any relevant standards;
- ❖ a summary of observation findings if applicable;
- ❖ an assessment of training and professional development needs and identification of any action that should be taken to address them;
- ❖ a recommendation on pay if relevant. This will be in accordance with the Pay Policy, which will include reference to sources of evidence that may be used in assessment of pay progression.

The assessment of performance and of professional development needs from each individual appraisal will inform the planning process for the following appraisal period for the whole school.

Monitoring & Evaluation

During the appraisal period, you have responsibility for gathering evidence of your progress throughout the year that can be discussed at your interim and end of year appraisal meetings. Your manager will then record the discussion on this evidence and make an assessment in the appraisal report.

Transition to Capability

Performance management is an ongoing process. If your manager is not satisfied with your progress, despite the support provided, you will be notified in writing that the appraisal system will no longer apply and that your performance will be managed under the capability procedure. You will be invited to a formal capability meeting.

A formal warning or decision to dismiss will be issued if the hearing concludes that reasonable steps have been taken by the organisation that should have allowed the employee to perform to an acceptable

standard, but that these measures have not worked. The warning will explain the nature of the improvement that is required in the employee's performance and state that the improvement must be immediate and sustained.

Where an employee is issued with a formal warning or is dismissed in accordance with this procedure, they will have a right of appeal.

Any offer to redeploy the employee will be entirely at the organisation's discretion. Such an offer will be made only where the organisation is confident that the employee will be able to perform well in the redeployed role. It will normally be offered only as an alternative to dismissal in circumstances in which the organisation is satisfied that the employee should no longer be allowed to continue to work in their current role. While the employee is free to refuse any offer of redeployment, the only alternative available will usually be dismissal.

Where an employee is dismissed in accordance with this procedure, they will have a right of appeal.

Appeal

An employee has a right of appeal against a sanction issued under stages 3 or 4 of this procedure. A request for an appeal should be sent in writing to the Headteacher and set out the grounds on which the employee believes that the decision was flawed or unfair. The request should be sent within seven days of the employee receiving written confirmation of the sanction imposed on them by the organisation.

An appeal hearing will be convened to consider the matter. It will be chaired by a Senior Manager, CEO or Trustee than the manager who conducted the original hearing, together with the head of HR. The employee will be entitled to be accompanied by a fellow employee or a trade union official.

At the hearing, the decision to impose the sanction will be reviewed and the employee will be entitled to make representations about the appropriateness of that decision.

The result of the hearing will be either to confirm the sanction, or substitute any outcome that was available to the panel conducting the hearing at which the sanction was imposed on the employee.

The outcome of the appeal will be confirmed to the employee in writing, explaining the grounds on which the decision was reached. The outcome of the appeal will be final.

Acas code of practice on disciplinary and grievance procedures, and related guidance

Paragraph 1 of the "Acas code of practice on disciplinary and grievance procedures" anticipates that the same procedure is used for both conduct and capability issues. That may be a suitable approach for straightforward cases or for small employers, but larger employers or employers facing complicated performance issues that require more than just a straightforward warning are likely to benefit from a separate procedure. The code states that where a separate procedure is used, the basic principles of fairness set out in the code should still be followed (and adapted where necessary).

General Principles underlying this Policy

Confidentiality

The appraisal process will be treated confidentially. However, the desire for confidentiality does not override the need for the Headteacher and Academy Trust Board to quality-assure the operation and effectiveness of the appraisal system. In this Trust, the Executive Headteacher/Headteacher, in conjunction with the Senior Leadership Team, is responsible for reviewing objectives and written appraisal records, to check consistency of approach and expectation between different appraisers.

Consistency of Treatment and Fairness

Royal Wootton Bassett Academy Trust are committed to ensuring consistency of treatment and fairness. It will abide by all relevant equality legislation, including the duty to make reasonable adjustments for disabled employees. The Trust is aware of the guidance on the Equality Act issued by the Department for Education.

Monitoring and Evaluation

The Governing Body and Headteacher will monitor the operation and effectiveness of the appraisal arrangements. In developing, applying and evaluating this policy we will monitor the impact on different groups of people with protected characteristics in line with the Trust's Equality & Diversity Policy. This will ensure that what we do is done fairly.

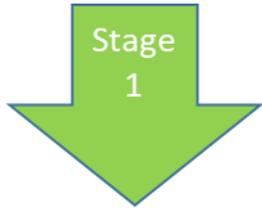
Retention and Data Protection

All written appraisal records will be retained in a secure place. It is your manager's responsibility to ensure the HR manager has a copy of all relevant documents. As part of the application of this policy, the Trust may collect, process and store personal data in accordance with our Data Protection Policy. We will comply with the requirements of Data Protection Legislation:

(i) unless and until the GDPR is no longer directly applicable in the UK, the General Data Protection Regulation ((EU) 2016/679) and any national implementing laws, regulations and secondary legislation, as amended or updated from time to time, in the UK and then

(ii) any successor legislation to the GDPR or the Data Protection Act 1998). Records will be kept in accordance with our Privacy Notice, our Retention and Erasure Policy and in line with the requirements of Data Protection Legislation.

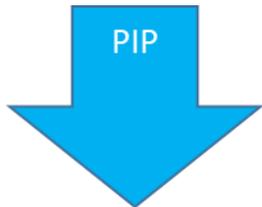
Support Staff Process



Employee informed of the nature of the problem by writing and invited to an informal meeting to discuss

Following this meeting the manager may choose to:

- 1) Take no further action
- 2) refer the matter for investigation under the disciplinary procedure
- 3) issue an informal PIP guidance, support, coaching, training to the employee on what they need to do to improve performance (targets and timescale for improvement, recommended up to 8 weeks to stage 2 review)

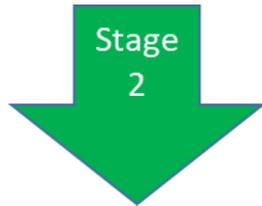


A performance improvement programme (PIP) is a series of measures designed to help improve the employees performance

Timescale: the timescale in which necessary improvement must be achieved will be set out

Measures: what measures needed to support the employee will be set out e.g. training, additional supervision

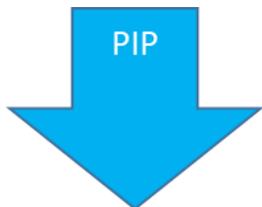
Feedback: employee will receive regular feedback from line manager indicating the extent to which they are on track



Employee invited to a PIP review meeting to discuss performance and decide which measures should be taken next

The outcome of the meeting may be:

- 1) a decision to take no further action
- 2) a decision to refer the matter for investigation under the disciplinary procedure or
- 3) Issue follow on PIP, move to more formal capability. Member of staff advised that if performance does not improve this could lead to dismissal



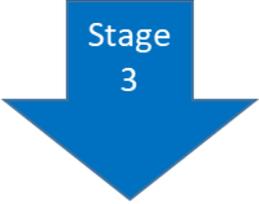
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Feedback: employee will receive regular feedback from line manager indicating the extent to which they are on track

Review: performance is reviewed at the end of the period the program will either be concluded, extended/amended or referred to stage 3



Stage
3

If performance is still unacceptable a performance dismissal hearing is convened and employee is informed in writing

The employee is entitled to be accompanied by a fellow employee or trade union official

The employee will have the opportunity to respond to any comments made of their performance and make any representations

The outcome of the meeting may be:

- 1) a decision to take no further action
- 2) an offer to redeploy the employee to alternative work or
- 3) a decision to dismiss the employee

