

APPRAISAL POLICY – SUPPORT STAFF

Approved by: Cumbria Education Trust Board
2016

Date: 7 December

Review Date: December 2019 or as required following changes in legislation

Owner: Human Resources, Cumbria Education Trust

PURPOSE

The Trust recognises the importance of staff engagement and the value that an effective appraisal brings to support staff to help them to develop and grow in their role. An effective appraisal process acknowledges the contribution of support staff, the work that they do and helps them understand how their role contributes to improving outcomes for children/students and to the Trust's overall vision. Evidence has shown that a formal appraisal process has a positive impact on staff engagement and service outcomes but it is only one of several informal mechanisms for staff engagement.

A 'Values Based Appraisal' approach and documentation has been adopted by the Trust and reflects the importance that our values and behaviours have and which underpins our aspiration for all pupils/students, staff and academies "to be the best we can be." It will encourage staff to reflect on how they have demonstrated each of the Trust values in their work in the past year in addition to their other achievements and challenges in their role.

The appraisal procedure will also be used to address concerns that are raised about a member of staff's performance. If concerns are such that they cannot be resolved through the appraisal process, these will be addressed as detailed in the guidance on page 4 of this policy.

APPLICATION OF THE APPRAISAL POLICY

This policy applies to all support staff employed across the Trust family of academies.

New starters: When employees join the Trust outside of the appraisal window they should have an initial review with their manager and set objectives and a Personal Development Plan (PDP) within 3 months of starting. This will ensure they are clear on how their role aligns with their team/function and School/Trust priorities and identifies the learning and development they need in their role. The objectives would then be reviewed as part of the annual appraisal during the appraisal window.

There is no requirement to submit any documentation for this initial review.

THE APPRAISAL PERIOD

The appraisal period will run for twelve months normally from 1 October to 30 September.

VALUES BASED APPROACH

The Trust Values Based Appraisal outlines the process through a '5 step' approach:

- Step 1 -** Preparation for the appraisal process
- Step 2 -** Undertake the appraisal process (Appendix 1): review job role, objectives and achievements from the last year
- Step 3 -** Values and Behaviours (examples can be found in Appendix 2). Discuss how they have demonstrated each of the Trust values in their work in the past year
- Step 4 -** Discuss and agree objectives for the next year
- Step 5 -** Discuss and agree appraisee's learning and development needs for a PDP and agree strategies to meet them

DUTIES

The Chief Executive Officer has overall responsibility for ensuring the effective implementation of this policy.

Headteachers are responsible for ensuring that it is implemented effectively within their school.

Headteachers and line managers (appraisers) have a responsibility to:

- Provide clarity and confirmation of School/Trust objectives, vision, values and behaviours and ensure that objectives and priorities are aligned to them. This will provide clarity and guidance for the appraiser and appraisee when setting team and individual objectives.
- Adhere to the guidance set out in this policy to ensure a robust and consistent annual appraisal process within their school.
- Ensure that appraisers and appraisees understand their responsibilities in preparing for the appraisal as set out in the appraisal documentation (Step 1) and the appraisal process is applied consistently and fairly cross all support staff members.
- Ensure that they and the appraisers in their teams have appropriate skills in delivering effective appraisals and receive training if required, to ensure that high standards for appraisal are maintained.
- Ensure that appraisers keep up to date records of appraisals and PDPs for all their staff for monitoring purposes.
- Check support staff are up to date with mandatory training.
- If the support staff member has another or several job roles, liaise with the other manager(s) and share information regarding support and development to ensure efficient use of resources.

Support staff (appraisees) have a responsibility to:

- Be aware of the School/Trust objectives, visions, values and behaviours and individual team/service priorities and objectives. Consider how their job and role contributes to the wider Trust purpose and priorities.
- Be aware and understand the importance and value of an effective appraisal process and the potential benefits for improvements to children/students.
- Participate in the appraisal process, understand and adhere to guidance set out in this policy.
- Prepare for their annual appraisal and review meetings and understand their responsibilities in the process.
- Undertake training, learning and development as identified in their PDP.
- Meet the agreed objectives set as part of the appraisal process.
- Seek help and support to prepare for the annual appraisal where appropriate. Be pro-active in the process.

PROCEDURE

The appraisal process will take the form of a two-way discussion/conversation between the appraiser and the appraisee about achievements, successes and concerns during the previous year. It will reflect on and discuss how the appraisee has demonstrated the Trust values in their work during the past year and it will review progress towards achieving the set objectives.

There should be 'no surprises' during the annual appraisal and any concerns that the appraiser may have, should have been addressed as and when such concerns/issues arose during the year as part of the line-management role. The job description and the previous objectives and PDP should be available for reference.

New starters: All employees including new employees should have an annual appraisal within the appraisal window. Where employees join the Trust outside of the appraisal window they should have an initial review with their manager, set objectives and a PDP within 3 months of starting. This will ensure they are clear on how their role aligns with their team/function and School/Trust priorities and identifies the learning and development they need in their role. The objectives would then formally be reviewed as part of the annual appraisal during the appraisal window.

Support Staff with more than one role: There are a number of support staff who hold more than one role. Sometimes the roles are very different with different job descriptions and duties and sometimes the roles may be very similar. Managers of support staff with more than one role may choose to liaise with each other and share information to compliment skills development and ensure efficient use of resources.

It is expected that all support staff will have at least one appraisal. It is for local managers to determine whether the roles require a different set of objectives and therefore a separate appraisal.

One to One/Review and Team Meetings: These are an important aspect of the appraisal process as they provide regular contact with the line manager and ongoing support for staff. They are an opportunity for managers/appraisers to have a two-way/team conversation about current issues or concerns, celebrate and acknowledge success and provide ongoing feedback for staff. It provides time to have discussions about progression of objectives and any learning or development required.

It is recommended that a minimum of 4 meetings are arranged throughout the year between the appraiser and the appraisee/s at a time and venue to support both parties/teams. Meetings should be recorded, including any actions required by who and when and a copy kept by both appraiser and appraisee.

The Appraisal Documentation '5 Step' Approach

Step 1 - Preparation for the appraisal process

- Appraiser gives 1 months' notice of the appraisal to enable the staff member to prepare.
- Appraiser to direct appraisee to the Appraisal Policy and documentation.
- Allocate sufficient time and provide privacy.
- Both review last years' PDP/objectives.
- Appraiser and appraisee to consider progress towards achieving objectives and personal development for discussion. Complete prior to appraisal if appropriate.
- Appraisee completes (appraiser to consider in preparation for a discussion) an example of how you have demonstrated each of the Trust Values in your work in the last 12 months.

Step 2 - Undertake the appraisal process: review job role, objectives and achievements from the last year

- Discuss what has gone well and the challenges faced during the last year.
- Discuss the extent to which the individual has met the objectives set and PDP.

Step 3 - Values and Behaviours

- Discuss how the appraisee has demonstrated each of the Trust values in their work in the past year. Discuss areas for development.

Step 4 - Discuss and agree objectives for the next year with the appraisee

- Identify personal objectives for the coming year. Discuss how these will fit with the priorities and objectives of the School/Trust.
- Discuss how they will demonstrate Trust values and behaviours with areas for development.

Step 5 - Discuss and agree training/learning and development needs to meet objectives

- Discuss and agree training/learning and development needs of individuals as part of the PDP and agree strategies to meet those needs.
- The PDP will be confidentially held by the appraiser and the appraisee and reviewed at agreed meetings. However there may be occasions when this document will be made available should other circumstances demand, e.g. for capability and/or disciplinary purposes.

LINKS TO PAY

The headteacher will take account of the performance management outcomes in making recommendations on salary in accordance with employee's terms and conditions of employment. This may include recommending the award of any honorarium where the employee's performance exceeds that which could reasonably be expected and the employee has made a sustained and substantial contribution to the school.

In exceptional circumstances the headteacher may recommend withholding an increment where the employee's performance has been unsatisfactory. This will only occur when the employee was previously made aware of the school's concerns and has been given the opportunity and support to improve his/her performance.

Where an employee is aggrieved about a salary decision s/he will have the right to appeal as detailed below.

TRAINING

It is essential that appraisers have adequate training in this important role to ensure that they have the skills and confidence to deliver high quality appraisals and that appraisees report that the appraisal process is effective and meaningful. The appraisal process will help support, engage and enable support staff to "be the best they can be" in their role.

Training for appraisers is available. All requests should be made via the Trust's HR Manager.

GENERAL PRINCIPLES UNDERLYING THIS POLICY

ACAS Code of Practice on Disciplinary and Grievance Procedures

The formal capability stage will be conducted and undertaken in accordance with the provisions of the ACAS Code of Practice.

Consistency of Treatment and Fairness

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

Sickness

If long term sickness absences interrupt the commencement of monitoring or a formal capability procedure, the case will be dealt with in accordance with the school's/LA's absence policy and will normally be referred to the occupational health service to assess the member of staff's health and fitness and 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 process, the appraisal or capability process may be temporarily suspended in order to deal with the grievance. Where the grievance and any capability issue identified through the appraisal are related it may be appropriate to deal with both issues concurrently.

Confidentiality and Professional Relationships

The appraisal and capability processes will be confidential. Only the appraiser's line manager or, where s/he had more than one, each of her/his line managers and the headteacher will be provided with access to the appraisee's performance review plan.

The process of gathering evidence for performance review is not expected to compromise normal professional relationships between members of the team. The appraiser will consult with, and seek to secure the agreement of, the appraisee before seeking information from other colleagues about his/her work.

Retention of Records

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

Monitoring and Review

The CEO, as delegated by the Trust Board and individual academy headteacher's will monitor the operation and effectiveness of the school's/LA's appraisal arrangements.

The headteacher will provide the Local Advisory Board and Trust Board with a written report on the operation of the academy'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 the protected characteristics as set out in the Equality Act 2010, i.e.

- Age
- Disability
- Gender reassignment
- Marriage and civil partnership
- Pregnancy and maternity
- Race
- Religion and belief
- Gender
- Sexual orientation

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

This policy will be subject to regular review by the Trust at not more than three yearly intervals to ensure that it remains appropriate to the needs of the school and the Trust.

Appendix 1

VALUES BASED APPRAISAL DOCUMENTATION

A good appraisal is an effective way of helping support staff understand the valuable contribution they make to their school, their team and the Trust. It makes clear what links 'the work that I do' to the vision and Strategic Priorities of your school and the Trust.

This appraisal should not be done in isolation, it should be linked to regular conversations and monitoring (1-1) meetings with your manager/team leader or supervisor. It should also be linked to professional and or any development frameworks relevant to your role. Ongoing issues should be addressed during regular meetings.

This document should be used to record the annual appraisal during your appraisal window. Progress towards achieving objectives will be reviewed through regular meetings (which could be individual or team meetings).

Name:	
Job Title:	
Department:	
Date of Appraisal:	
Name of Appraiser:	
Job Title:	

Both the Appraiser and the Appraisee will keep a copy of all appraisal documentation for their own records. To ensure that the Trust and your team has an accurate record of the number of completed appraisals, it is important that you send a completed copy of this appraisal to: Headteacher.

The Appraisal Process – 5 Steps

<p>Step 1 – Preparation</p> 	<ul style="list-style-type: none"> • Give adequate notice of the appraisal to enable staff to prepare • Review job role, last years' objectives and Personal Development Plan (PDP) • Consider and acknowledge current training, professional requirements and monitoring notes • Allocate sufficient time and provide privacy
<p>Step 2 – Undertake the appraisal process: Objectives/Achievements</p> 	<ul style="list-style-type: none"> • Reflect on what has gone well, what hasn't and the challenges faced during the last year • Discuss the extent to which the individual has met the objectives set in last year's objectives and Personal Development Plan (PDP)
<p>Step 3 – Undertake the appraisal process: Trust Values and Behaviours</p> 	<ul style="list-style-type: none"> • Discuss the extent to which the individual has demonstrated the Trust values expected of everyone in their role
<p>Step 4 – Discuss and agree objectives</p> 	<ul style="list-style-type: none"> • Consider the School's/Trust's Strategic Priorities identifying individual and or team objectives for the coming year (relevant to role) • Agree with individuals their contribution to the Trust and team objectives and link to Trust Values and Behaviours
<p>Step 5 – Discuss and agree learning and development needs</p> 	<ul style="list-style-type: none"> • Identify their learning and development needs necessary to support delivery of the identified objectives • Identify learning and development needs necessary to demonstrate Trust Values • Agree strategies to meet their learning and development needs as part of their Personal Development Plan (PDP)

Review of the past twelve months

(to be completed by end of September)

Appraiser and Appraisee complete below in their preparation for the appraisal meeting

A: Summary of progress towards achieving objectives and Personal Development Plan – Appraiser and Appraisee to reflect on the past 12 months.

Consider: **Overall achievements, what has been done well, what has been done less well: low and high points, work-life balance and personal wellbeing.**

Consider: **Last years' objectives and PDP and to what extent these have been achieved.**

Appraisee

Appraiser

B: Values: – Appraiser to consider and Appraisee to complete in preparation for the appraisal meeting. For more information on the Trust’s Values please see pages 8 to 10.

	Give one example of how you have demonstrated each of the Trust Values in your work in the last 12 months <i>(discuss with the Appraiser during the appraisal meeting)</i>	Areas for development? <i>(Appraiser and Appraisee to discuss and include in PDP)</i>
Respect <ul style="list-style-type: none"> • Listens and Consults • Respectful • Supportive and Caring • Builds Trust 	<i>We always remember we are here for our school, our team and our Trust</i>	
Responsibility <ul style="list-style-type: none"> • Takes Personal Accountability • Gives and Asks for Feedback • Learns from Mistakes • Sets a Good Example 	<i>We are accountable, honest and inclusive</i>	
Resilience <ul style="list-style-type: none"> • Encouraging • Tenacious and Resilient • Generates Goodwill • Improvement Focus 	<i>We are energetic, resourceful and determined</i>	

Objectives/PDP:	Not met	Partially met	Fully met

Pay progression (if applicable) recommended by Appraiser: YES/NO		Pay progression approved by:YES/NO	
Pay progression approved by the Trust: YES/NO	Date:	Signature:	

Annual Objectives

(To be completed by end October)

Both the Appraiser and Appraisee consider in preparation for the appraisal. It is helpful to think of a maximum of 3 objectives (individual or team) that are aligned with the school's and the Trust's Strategic Priorities and also include individual learning and development needs. Appraiser and Appraisee to agree the final objectives chosen.

Objective (individual or team)	Learning, development or support required to meet objectives (use to develop PDP)	Evidence	Timescale for objective to be achieved	Expected Outcome and Measurement of Achievement

Personal Development Plan

(To be completed by end October)

Learning, development or support required to meet objectives	How will the learning, development or support required be met?	Who will provide the support required? <i>(Internal to your team, internal to the Trust or is external funding required? Please outline costs)</i>	Timescales to achieve development	Expected outcomes or measurement of achievement

Signed:	Appraisee	Date:
Signed:	Appraiser	Date:

Mandatory/Statutory/Role Specific Training

Appraiser and Appraisee to discuss training completed and outstanding (*to be completed*)

Mandatory/Statutory Training required	Outstanding?	Date to be completed	Actions required to complete
Health & Safety			
Safeguarding			
Role specific Training (e.g. skills to do the job)	Outstanding?	Date to be completed	Actions required to complete

	We want to see	Expect to see	Don't want to see
Listens and Consults	<ul style="list-style-type: none"> • Makes people feel valued and included by listening and consulting widely. • Welcomes a wide range of other viewpoints. 	<ul style="list-style-type: none"> • Finds time to talk and show interest in people. • Welcomes the views and opinions of others and involves colleagues in decisions. 	<ul style="list-style-type: none"> • Takes decisions which affect others without discussing things. • Does not ask for ideas and opinions. • Cuts across people when they are speaking.
Respectful	<ul style="list-style-type: none"> • Builds trusting relationships. • Champions diversity. • Adapts language and style to best suit the audience. • Treats people with respect, courtesy and professionalism. 	<ul style="list-style-type: none"> • Treats people as they would want to be treated. • Smiles and acknowledges colleagues. • Gives good eye contact. • Is polite and helpful at all times. • Encourages diversity. 	<ul style="list-style-type: none"> • Talks behind people's back. • Breaks confidences. • Speaks negatively about the Trust or colleagues. • Takes all the credit for the team's performance.
Supportive and caring	<ul style="list-style-type: none"> • Responds positively and quickly to requests from colleagues. • Knows when to offer help and when to ask for it. • Generous with praise and thanks. 	<ul style="list-style-type: none"> • Displays empathy and compassion for staff and pupils/students. • Can relate to individual objectives & accountabilities to those of the rest of the team • Provides praise, thanks and recognition to others. 	<ul style="list-style-type: none"> • Avoids colleagues who need help. • Looks after own interests. • Is dismissive of, or uninterested in, people's needs. • Is not aware of how their work hinders others and their ability to meet objectives.
Builds Trust	<ul style="list-style-type: none"> • Builds relationships based on trust. • Openly shares information and ideas with the team • Explains how decisions have been reached and what this means for individuals. 	<ul style="list-style-type: none"> • Is consistent and not overly affected by mood or frame of mind. • Is open in sharing, information, and honest in all communications. 	<ul style="list-style-type: none"> • Has favourites whilst ignoring others. • Treats information as power – withholding it to suit themselves. • In unpredictable in terms of reaction and behaviours are affected by negative moods.

Responsibility

	We want to see	Expect to see	Don't want to see
Takes personal accountability	<ul style="list-style-type: none"> • Owns problems until they are solved. • Makes and holds other accountable for their commitments at all levels and in all teams. 	<ul style="list-style-type: none"> • Keeps their word. • Manages expectations. • Flags up potential issues well in advance. • Provides regular communication updates. 	<ul style="list-style-type: none"> • Misses deadlines, avoids taking responsibility, doesn't keep commitments, doesn't communicate. • Doesn't own up to mistakes and tries to discredit others instead.
Gives and asks for feedback	<ul style="list-style-type: none"> • Challenges unacceptable behaviours, poor practice and unsafe practice at all levels in the Trust and partner organisations. • Frequently asks for and acts upon feedback – from all levels – and encourages others to do the same. 	<ul style="list-style-type: none"> • Challenges unacceptable behaviours, poor practice and unsafe practice within the team. • Asks for and acts upon feedback provided. 	<ul style="list-style-type: none"> • Uses 'feedback' simply to criticise others. • Receives feedback poorly and defensively. • Challenges others in a way that is demotivating and not useful.
Learns from mistakes	<ul style="list-style-type: none"> • When mistakes happen, takes a lead in understanding what went wrong, why, and how best do we fix things and share the learning. • Focuses on the issue not the person. 	<ul style="list-style-type: none"> • Supports and listens when things go wrong. • Seeks to help find a solution and avoids blaming, shaming and finger pointing. 	<ul style="list-style-type: none"> • Doesn't own up to mistakes but hides behind excuses. • Does not use errors as an opportunity to learn and develop.
Sets a good example	<ul style="list-style-type: none"> • A role model for the Trust values and inspires others to be so as well. • Frequently refers to the values to guide decision-making and identify good work. 	<ul style="list-style-type: none"> • Refers to and demonstrates the Trust values and challenges those who do not. 	<ul style="list-style-type: none"> • Displays 'don't want to see' behaviours that don't support our Trust values.

Resilience

	We want to see	Expect to see	Don't want to see
Encouraging	<ul style="list-style-type: none"> • Demonstrates real trust and belief in others to achieve. • Always offers support and encouragement. • Knows when to let others lead, regardless of their role/seniority. 	<ul style="list-style-type: none"> • Instils confidence in the team to believe in themselves, take calculated risks, and trust their judgment. 	<ul style="list-style-type: none"> • Puts people down. • Dismisses and ignores people. • Demonstrates they don't really trust people to get on and do a good job.
Tenacious and resilient	<ul style="list-style-type: none"> • Shows determination and strength of character in pursuing important goals without giving up. • Demonstrates self-control, courage, commitment and confidence in difficult situations. 	<ul style="list-style-type: none"> • Takes the right decision, not the easy decision. • Sticks at difficult tasks and remains focused and professional. 	<ul style="list-style-type: none"> • Gives up easily. • Blames others for why things didn't work or goals weren't met. • Moans and focuses on the negatives.
Generates goodwill	<ul style="list-style-type: none"> • Inspires and enthuses others to follow an agreed course of action. • Creates a spirit of goodwill and co-operation inside and beyond team and organisational boundaries. 	<ul style="list-style-type: none"> • Supports a spirit of goodwill and co-operation within the team, and with other teams. • Shows a sense of humour. • Gives 'best effort' to all that is done. 	<ul style="list-style-type: none"> • Works in and maintains silos. • Makes the environment difficult and negative to work in. • Goes it alone. • Prevents effective co-operation.
Improvement Focus	<ul style="list-style-type: none"> • Is tenacious and determined • Encourages people to try new ideas recognising that they might not get it right first time • Inspires and enthuses others to achieve high quality, great results 	<ul style="list-style-type: none"> • Supports, encourages and tries out better, more efficient and effective ways of doing things • Works with others to achieve high quality, great results 	<ul style="list-style-type: none"> • Doesn't share good ideas • More focused on talking about a problem than helping work out a solution • Shows little interest in alternative ways of doing things, and seeks excuses not to change