



# THE SOCIETAS TRUST

## Appraisal Policy & Procedure for Support Staff

Date of Policy	2023
Reviewed and Agreed by	The Directors' Board
Originally Adopted on	
Last Review Date	13 December 2023
Next Review Date	Autumn 2024

## **1. Introduction**

1.1 This Policy has been designed for use with all support staff employed by The Societas Trust (“the Trust”).

## **2. Review**

2.1 This procedure/policy does not form part of any employee's contract of employment and it may be amended by the Trust at any time, following consultation with recognised Trade Unions.

## **3. Purpose**

3.1 This policy sets out the framework for a clear and consistent assessment of the overall performance of support staff. The appraisal procedure may also be used to address and manage relevant areas for improvement raised about an employee’s performance which are not concerns serious enough to require a Capability process.

3.2 The policy is also the framework for supporting staff development within the context of plans for improving educational provision and performance. Through the appraisal process the Trust seeks to improve outcomes for children/students by improving morale, supporting staff to update skills and encouraging professional dialogue. This policy will be operated separately to the Capability Policy, where this is relevant.

## **4. Application of the policy**

4.1 The policy will be used with support staff so that a consistent approach in the management of staff is effective across the whole Trust.

## **5. Appraisal**

Appraisal will be a supportive and developmental process designed to ensure that all staff have the skills and support they need to carry out their role effectively. It will help to ensure that staff are able to continue to improve their professional practice and to develop their skills.

### **5.1 The appraisal period**

**5.1.1** The appraisal period will run for twelve months from 1 September to 31 August.

**5.1.2** 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.

**5.1.3** The headteacher or nominated performance management lead will work with the member of staff to determine the relevant appraisal period when employment begins or ends during the normal appraisal period and will bring the cycle in line with others as soon as possible.

## **5.2 Appointing appraisers**

**5.2.1** The headteacher or nominated performance management lead, will decide who will appraise support staff. Appraisers will be suitably skilled to undertake the role. Appraisers will normally have line management responsibility for the appraisee and will be responsible for managing all aspects of the appraisal. The appraiser should have equivalent or greater level of responsibility than the employee he or she is appraising and would normally have line management responsibility.

**5.2.2** Where an employee is of the opinion that their appraiser is unsuitable for professional reasons, they may submit a written request to the headteacher or nominated performance management lead for an alternative appraiser, stating the reasons for the request. The request will be considered but ultimately it is for the headteacher or nominated performance management lead to make the decision.

**5.2.3** Where possible, alternative appraisers will be offered where there is a genuine and valid reason, or the appointed appraiser is not available due to long term sickness. This will be confirmed with the appraisee at the beginning of the process. Wherever practicable, an appraiser should only have a maximum of four appraisees.

**5.2.4** Sufficient time, within directed hours, should be provided to enable the appraiser and appraisee to fulfil their obligations with regard to the appraisal process.

## **5.3 Setting objectives**

**5.3.1** The objectives set for every employee will, if achieved, contribute to plans for improving the education provision and the individual's performance.

**5.3.2** When setting objectives, the following principles will be used:

- i. Objectives which are Specific, Measurable, Achievable, Realistic and Time-bound (SMART).
- ii. Objectives which are relevant, realistic and reasonable for the role, responsibility and experience of the post holder and in the context of the Trust's wider HR policies.
- iii. The number and type of objectives will be relevant to leadership/management resource of the development plan, pupil progress objectives (where applicable) and contribute to professional development.
- iv. No staff member will be given more than three agreed objectives or additional sub-objectives. Setting more than three agreed objectives may cause increased workload and would be inconsistent with the Trust's strategy for staff wellbeing and for achieving work/life balance for all staff.
- v. Objectives themselves should not be based purely on numerical targets and success should not be determined by meeting these.
- vi. Objectives should be agreed between the appraiser and appraisee but, where this is not possible, determined by the appraiser. Where agreement cannot be reached, the Headteacher or nominated performance management lead will determine following discussion with both parties. The appraisee may add comments to the plan.
- vii. The appraiser will consider the effects of an individual's circumstances when agreeing objectives. For example, this might include a reasonable adjustment to allow an individual slightly longer to complete a task than might otherwise be the case. When staff return from a period of extended absence, objectives may be reviewed to allow them to readjust to their role and working environment.
- viii. Objectives will be quality assured and moderated by the headteacher or nominated

performance management lead.

## **5.4 Reviewing performance**

### **5.4.1 Observation:**

Appropriate mechanisms will be used to review performance for support staff. The overall approach will include the principles set out in Appendix 2 but will need to be relevant to the role. Performance review may include:

- i. Review of produced work
- ii. Classroom observations (for classroom support staff)
- iii. Observation in meetings or service delivery
- iv. Peer review of classroom support staff
- v. Discussion and other feedback

### **5.4.2 Reviewing other supporting information**

Other information useful for reviewing classroom based performance may include, if appropriate:

- i. Lesson plans
- ii. Work sampling
- iii. Pupil progress information
- iv. Pupil progress meetings
- v. Pupil/parental discussion and feedback
- vi. Pupil behaviour management

### **5.4.3 Development and support**

Appraisal is a supportive process which will also be used to inform continuing professional and general development. It is important to encourage a culture in which all employees take responsibility for developing their performance and engaging in appropriate professional development. Professional development will be linked to improvement priorities and to the ongoing professional development needs of staff.

The CPD Plan will be informed by the training and development needs identified in appraisees' planning and review statements. In planning and providing budget and resources for staff development, the following will be taken account of:

- i. The training and support required to meet priorities
- ii. The support agreed as essential for an appraisee to meet their objectives
- iii. The future aspirations of all staff
- iv. Fair and equal access to development

An account of the support and development needs of staff in general, including the instances where it did not prove possible to provide any of the agreed CPD and the reasons for this not being provided, will form a part of the head teacher's or nominated performance management lead's annual report to the relevant Governing Board about the operation of the appraisal process.

#### **5.4.4 Feedback**

Employees will receive constructive feedback on their performance throughout the year and as soon as practicable after observation has taken place or other evidence has been assimilated. Feedback will highlight particular areas of strength as well as any areas that need attention.

The appraisal meeting should hold no surprises for any member of staff as any concerns over performance should have been raised during the appraisal cycle. The appraiser will give consideration, as with the setting of objectives, to any circumstances which may have impacted on performance. Where any aspects of the employee's performance (as opposed to points for development) are of concern, the appraiser will meet him/her as soon as possible to:

- Give clear feedback about the nature and seriousness of the concerns;
- Give the employee the opportunity to comment and discuss the concerns;
- Re-confirm the requirements to be met (including reviewing set objectives to ensure they are achievable)
- Agree any support (e.g. coaching, mentoring, training, structured observations), that will be provided to help address those specific concerns;
- Make clear how, and by when, the appraiser will review progress, allowing an appropriate period of time (usually no more than 6 working weeks) to address the issues raised;
- Explain the implications and process if no, or insufficient improvement is made
- The appraisee should receive and be able to comment in writing on the notes of the meeting.

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

#### **5.4.5 Where concerns continue**

Employees should not be held accountable for failing to make good progress towards meeting their objectives where the CPD or support recorded in the planning statement as being required to make progress has not been provided.

No member of staff should be subject to formal Capability procedures without understanding in full that this is the case, the reasons for this process being initiated, and the possible outcomes should the process not result in the necessary improvements.

If, however, despite support and opportunities to improve, the appraiser continues to have serious concerns that inadequate improvement/progress has been made, the appraiser will consider in consultation with the headteacher or nominated performance management lead as appropriate, whether the Capability procedure should be used. Should this be the case the employee will be invited in writing to a meeting under the Capability Policy.

At all stages of the Appraisal and Capability procedures employees should seek advice and guidance from their Trade Union representatives.

Where appropriate improvement is achieved under this separate policy and any capability process ceases, the employee's performance and development will be managed again in accordance with the Appraisal policy.

## **6. Annual assessment**

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

**6.2** This assessment is the end point to the annual appraisal process, but performance and development priorities will be reviewed and addressed at the half way point.

**6.3** The employee will receive as soon as practicable following the end of each appraisal a written appraisal report. 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 responsibilities against their objectives and the relevant standards;
- an assessment of the employee's training and development needs and identification of any action that should be taken to support them;
- other items specified by the appraiser;
- a space for the appraisee's own comments.

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

The employee will have the opportunity to comment on the appraisal report in writing.

## **8. Appeal**

**8.1** The appraisee may appeal against the Appraisal Report by appealing to the headteacher or nominated performance management lead within 10 working days, setting out the reasons for the appeal and requesting a meeting to discuss their concerns. The meeting will be held in line with the Formal Meeting Procedure. They may be accompanied by a trade union representative/official or colleague. The Employee will be informed in writing of the outcome of the appeal as soon as possible following the meeting, but at the latest within 5 working days of the appeal meeting.

## **Appendix 1 General principles underlying this Policy**

This Policy should be read in conjunction with the Trust's other HR Policies.

### **Confidentiality**

The appraisal processes will be treated with confidentiality. Access to appraisal records will generally be restricted to Appraiser/Appraisee and line manager (where different). However, the desire for confidentiality does not override the need for the headteacher or nominated performance management lead to quality-assure the operation and effectiveness of the appraisal system.

### **Consistency of Treatment and Fairness**

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

### **Definitions**

Where the term 'working days' is used, it is intended to indicate days on which the Trust is open, and staff are expected to attend; therefore, it includes inset days but specifically excludes periods of closure.

### **Delegation**

Normal rules apply in respect of the Trust's Scheme of Delegation.

### **Retention**

The head teacher or nominated performance management lead will ensure that all written appraisal records are retained and stored in a secure place in line with the Data Retention Policy. The appraisee should retain their own copies.

## Appendix 2 - Classroom Observation Protocol for Appraisal Purposes

The Trust is committed to ensuring that classroom observation is developmental and supportive, and that those involved in the process will:

- carry out the role with professionalism, integrity and respect;
- evaluate objectively;
- report accurately and fairly, in a timely manner;
- respect the confidentiality of the information gained, and;
- seek to reach agreement in advance on how classroom observations are to be carried out.

The total period for classroom observation arranged for any employee, for appraisal purposes, will not exceed three hours per cycle, ensuring the time is proportionate to the individual circumstances and needs. There is no requirement to use all of the three hours.

'Proportionate to need' will be determined in keeping with the following principles:

1. Prior to the appraisal observation, the context of the observation will be confirmed between the appraiser and appraisee and included in the planning and review statement, which will detail:
  - a. the amount of observation
  - b. its primary purpose
  - c. any particular aspects of the employee's performance which will be assessed
  - d. the duration of the observation
  - e. when during the appraisal cycle the observation will take place, and
  - f. who will conduct the observation.
2. Where evidence emerges about the appraisee's performance which gives rise to concern during the cycle, additional observations may be agreed, subject to a revision meeting being held.
3. Information gathered during the observation will be used, as appropriate, for a variety of purposes. These include informing self-evaluation and improvement strategies in accordance with the Trust's commitment to streamlining data collection, minimising bureaucracy and workload burdens on staff.
4. In keeping with the commitment to have a supportive and developmental observation, those being observed will be notified in advance of the date and time of the observation, with at least 5 working days' notice of the appraisal observation.
5. Classroom observations will only be undertaken by persons with QTS. In addition, classroom observation will only be undertaken by those who have had adequate preparation and the appropriate professional skills to undertake observation and to provide constructive oral and written feedback and support, in the context of professional dialogue between colleagues.
6. Verbal feedback will be given as soon as possible after the observation and no later than the end of the following working day. It will be given during directed time, in a suitable, private environment.
7. Written feedback will be provided within five working days of the observation taking place. If issues emerged from an observation that were not part of the focus of the observation, as recorded in the planning and review statement, these should also be covered in the written feedback and the appropriate action taken in accordance with the regulations and guidance.



8. The written record of feedback should include the date on which the observation took place, the lesson observed and the length of the observation. The employee has the right to append written comments on the feedback document. No written notes in addition to the written feedback will be kept.

---