



# APPRAISAL POLICY FOR SUPPORT STAFF

Approved and signed by the Board of Trustees

8/12/16

Renewal date: .....

**November 2016**

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## **I INTRODUCTION**

Discovery Multi Academy Trust is committed to supporting and developing its staff so that they are able to perform their duties and responsibilities effectively. This policy aims to ensure staff can expect and receive appropriate support and training to enable them to meet agreed objectives, improve performance, whilst also developing their skills and knowledge.

Appraisals give individuals and their line managers an opportunity to review performance, agree personal objectives, and consider personal learning and development requirements.

This policy applies to all support staff in the MAT, including those on temporary and fixed term contracts, but excludes employees in their first six months of employment who are undertaking a period of probationary.

## **2 PURPOSE OF APPRAISAL**

**Following the successful completion of probation the appraisal scheme is designed to:**

- provide a confidential framework for support staff and their appraiser to review past performance and set future specific objectives.
- support the development of staff so that they are able to make an effective contribution to the delivery of a high quality service.
- provide personal action plans that will help maintain and develop strengths and support improvement in areas of concern.

## **3 ANNUAL APPRAISAL PROCEDURE**

Each review cycle will run concurrent with the academic year unless otherwise decided and will incorporate both interim and annual (final) appraisal meetings between the member of support staff and their line manager.

The first meeting under appraisal takes place after the successful completion of the employee's probation period. Thereafter an annual performance appraisal cycle will be followed.

The annual appraisal meeting will normally take place between January and April. An interim appraisal meeting will normally take place approximately 6 months later.

The employee will complete the pre-appraisal section of the appraisal form (Appendix 1) and send this to their line manager at least five working days prior to each appraisal meeting so that the points they have noted can be considered by the line manager.

This active appraisal is a positive way of helping people to develop their potential whilst carrying out their work. Benefits to the person being appraised include the chance to:

- discuss how they are getting on with the work in detail
- find out the line manager's views of their work
- explore ways of working more effectively
- discuss career development
- give feedback on aspects of the job and how they are being managed.

The two parties should agree actions to be taken as a result of the meeting. In order that there should be no misunderstandings and to provide a point of reference, the meeting and agreements on action points should be recorded in writing, using the appraisal form so that these can be referred to in subsequent meetings.

A review meeting (Appendix 3) will be arranged to assess progress approximately 6 months after the annual appraisal meeting.

All requests for training need to be approved by the line manager before consideration by the Head of School. All approved requests will then be collated and prioritised to meet the key objectives in the school improvement plan, taking into account the budget for training. Priority for training will be given in respect of the employee's current role rather than for potential or future roles.

## **4 ANNUAL APPRAISAL MEETINGS**

Annual appraisal meetings provide an opportunity to review performance during the previous period of appraisal and to plan ahead by setting specific objectives for the next review period. It should encourage a two way exchange of ideas between the employee and their line manager which may encompass some or all of the following;

The purpose of the annual appraisal meeting is;

- to discuss how far agreed objectives have been met during last review period,
- review expectations of the grade of the appraise and the extent to which these have been met,
- share and discuss sources of information gathered regarding the employees performance
- ensure that individuals are aware of the priorities in the MAT's management plan and how they contribute to achieving these,
- agree objectives for next review period,
- review progress and priorities,
- explore and seek to resolve any issues in these areas,
- discuss the impact and value of support and training undertaken during last review period,
- look at and agree future support and training needs,

In addition to the information already held by the appraiser information from other sources may be collected and considered at the annual review meeting. These sources of information should be discussed and agreed in advance and may include information obtained from one or more of the following;

- work place observations,
- feedback from trainers and outside agencies and contractors
- feedback from pupils, parents, LAB Board Members, Board Members etc

Such evidence may be collected throughout the appraisal period. These possible sources of evidence may help by adding to the information and evidence already held by the appraiser.

## 5 INTERIM APPRAISAL MEETINGS

Interim appraisal meetings should be scheduled approximately half way through annual appraisal cycles. The meeting provides an opportunity during the annual appraisal period to check that objectives which have been set continue to be relevant to the needs of the MAT and are achievable within the time-frame set. It also provides an opportunity to look at the added value of learning and development opportunities accessed and to make changes if required.

## 6 ROLE OF THE APPRAISER

The Head of School will determine the appropriate person to undertake appraisals for each member of support staff. This will usually be the employee's line manager unless otherwise decided. The appraiser will in all cases be well acquainted with the work of the member of support staff and will treat them with respect and consideration. The appraiser will also make arrangements for both annual and interim appraisal meetings to take place.

## 7 ROLE OF THE EMPLOYEE

Every member of support staff will be expected to play a part in their own appraisal by engaging in discussion from a position of being genuine, open and honest. Support staff will be expected to have read and understood the content of this policy and to abide by its terms and will at all times treat their appraiser with respect and consideration.

## 8 LINK BETWEEN APPRAISAL & CAPABILITY

Where during the appraisal process the appraiser or the Head of School is not satisfied with the performance of the member of support staff and despite support provided evidence of sufficient improvement does not exist the employee will be informed that a decision has been taken to manage their performance under the capability policy and procedures. Such a decision will be conveyed verbally and followed up in writing. In these circumstances the member of support staff will be invited to a meeting to discuss the decision (please refer to the MAT's **Capability Policy for Support Staff**).

## 9 CONFIDENTIALITY

The appraisal form is seen by the relevant member of staff, the appraiser, the appraiser's line manager, the Head of School and the MAT's HR Adviser. The appraisal form will be retained on file for reference on future appraisals.

Information gathered during the appraisal process may be used as part of other processes which could include:

- internal recruitment and selection
- capability procedures and
- redundancy selection.

## **10 MODERATION**

The Head of School is responsible for moderating appraisal outcomes and will ensure that performance appraisal is applied fairly and consistently across the academy. The links between appraisal and the MAT's strategic improvement priorities will be maintained. The CEO may therefore make appropriate arrangements for the moderation of performance appraisal reviews and objectives and will be counter-signatory on final appraisal reports.

## **11 APPEALS**

Following the annual appraisal meeting the line manager and member of support staff will sign the annual appraisal record form. This may follow discussion and agreement between both parties to any amendments to the information recorded on the form. If the member of support staff remains unhappy about the outcome of their appraisal they should first discuss this with their line manager. If this does not resolve the disagreement, the following appeals process may be started. (see *Appendix 1*)

Note: appeals will only be accepted if submitted within 2 weeks of receipt of the outcome to the appraisal process.

## APPENDIX A: APPEALS PROCESS

The appeals process allows support staff, concerned with the results of the annual appraisal meeting, to have the outcome reviewed. Accessing the formal appeal process would normally occur after having first raised their concerns informally with their line manager and have been unable to reach agreement. In these circumstances a formal appeal will be considered by a senior member of staff, usually the line managers manager, or the CEO.

Appeals must be made in writing and should outline why the overall rating is disputed, the specific areas of the appraisal where agreement was not reached with their line manager and must include evidence to support their argument that the ratings given in the areas being contested are invalid.

The appeal's manager, will then make arrangements for an appeal meeting to take place within 4 weeks of receipt of the letter of appeal. The appeal meeting will be conducted as follows;

In attendance will be;

- the employee (who may be accompanied by a union representative or work colleague.)
- the appraiser/line manager,
- the appeals manager (who may be supported by an HR adviser)

During the appeal hearing the appeal's manager will explore the appeal with both the employee and their line manager.

The line manager and the employee will be responsible for bringing to the appeal meeting any information or documentation they believe supports their case.

An adjournment may be called by the appeal's manager if it is felt further investigation is required beyond what can be covered at the meeting in order to arrive at an informed decision. Such an adjournment will last no longer than 2 weeks.

The appeal manager having arrived at a decision will confirm the outcome in writing at the earliest opportunity and no later than 5 working days after the close of the appeal hearing.

## APPENDIX B: PERFORMANCE APPRAISAL FORM (ANNUAL)

Employee name		Job Title	
Appraiser name		Date of appraisal meeting	
Year or period covered		Six month review due	

**Section A: Pre appraisal checklist.** This section to be completed by the appraisee and given to the nominated person for appraisal (see appendix A of the Appraisal Policy) 5 working days before the appraisal meeting.

What aspects of your job do you think have been most successful this year? Do you have any particular examples of successful outcomes relating to your Performance Management targets?

Has your job changed since the last performance appraisal? If yes, please state what has changed.

What elements of your job do you find most challenging?

What parts of your job interest you the most, and least?

Are there any aspects of your job or systems/processes that create dissatisfaction or frustration?

What aspects of your performance could be improved, and how could this be achieved?

How do you feel you have evidenced impact in the academy, based on your role and grade?

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What do you consider to be your most important aims and tasks in the next year?

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**Learning and development:** Learning and development is not limited to training courses. Other examples include e-learning, secondments, on the job learning.

Have you developed any new skills in the last year or attended any relevant courses?

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How have you put your learning into practice?

<b>Section B: Summary of discussion and agreed outcomes</b> To be completed by the appraiser following discussion during the appraisal meeting and discussion of the self-appraisal checklist

What additional skills or knowledge would you find useful to help you undertake your current job, and how would this help you to do your job better?

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<b>Additional comments</b>

**Development or training requests:**  
Only requests which have been recommended by the Line Manager will be considered. If the appraiser is different to the line manager then the person who undertook the appraisal should discuss the request with the relevant line manager.

**Appraiser's summary for the whole year:**

**Final assessment level:**

This is based on performance over the year against objectives

Assessment	Description	Tick agreed level
Outstanding performance	Defined as exceptional, consistent, a role model recognised by others.	
Exceeds normal requirements	Defined as regularly exceeding the normal requirements of the job with a high degree of consistency.	
Standard performance	Objectives met and fully demonstrated at required levels with a high level of consistency	
Less than standard performance with development needs	Most objectives met but development needed to fully meet all objectives	
Unsatisfactory performance	Defined as not meeting most of the requirements of the job.	

	Name	Signature	Date
<b>Appraisee</b>			/ /20
<b>Appraiser</b>			/ /20
<b>Appraiser's Line Manager's</b>			/ /20
<b>Head of School</b>			/ /20

After the form has been signed by the appraisee, the appraiser and appraiser's line manager the form should be sent to the CEO for review. The CEO will return a signed copy of the form to the appraiser who should send a copy to the appraisee. The original will be filed on the appraisee's personnel file.

## APPENDIX C: PERFORMANCE APPRAISAL FORM (INTERIM)

<b>Employee Surname</b>	Click here to enter text.	<b>Job Title</b>	Choose an item.
<b>Employee First Name</b>	Click here to enter text.		
<b>Appraiser name</b>	Choose an item.	<b>Date of review meeting</b>	Click here to enter a date.
<b>Year or period covered</b>			

*Continue sections on a separate sheet/s if necessary*

Progress towards objectives

Are there any difficulties identified in achieving your objectives?

Click here to enter text.

Summary of discussion

Click here to enter text.

	Name	Signature	Date
<b>Appraisee</b>			/ /20
<b>Appraiser</b>			/ /20
<b>Appraiser's Line Manager's</b>			/ /20

## **APPENDIX D: GUIDANCE NOTES FOR COMPLETING APPRAISAL FORMS**

### **1. Section A - Pre appraisal checklist**

This should be completed by the person who is being appraised and sent to the person responsible for undertaking their appraisal. This will normally be the line manager.

If possible, all sections of Part A should be completed. If you have only recently started in your post and this is not possible, you should make a note on the form.

The form can be returned either by email or as a hard copy to your appraiser and should be at least five working days before the date of your appraisal. This is the starting point for your appraisal meeting, therefore it is important that the appraiser has chance to read it before the meeting.

### **2. Section B – Summary of Discussion and Agreed Outcomes**

This section will be completed by the appraiser following or during the appraisal meeting. It will summarise the points discussed and also contain agreed objectives for the following year. The appraisee will be sent the completed form to read and sign that they agree with the comments and discussion points, and objectives.

When setting objectives the appraiser can make these small and personal, but they must link to your grade and role. They do not always have to be linked to large projects. If the appraisee has any concerns or would like to amend any of the comments on section B of the form they should meet the appraiser to discuss what they would like amended and reasons for any amendments.

Once signed by the appraiser, the appraisee, and the appraiser's line manager if applicable, the form should be sent by email or scanned copy to the CEO for review.

After it has been signed by the CEO, a copy of the form will be sent to the appraisee and a copy of the form will be filed ready for the appraiser in time for the six monthly review meeting.

### **3. Interim Appraisal Form**

At the six monthly review meeting the appraisee and the appraiser will discuss the progress towards objectives over the past six months, and agree whether any changes to the objectives need to be made. Once the form has been signed by the appraisee and the appraiser it should be returned to the CEO for filing.

### **4. Final Assessment and appraiser's summary for the whole year**

The review cycle runs from September to August. Therefore, this summary will be filled in at the end of the twelve month appraisal period based on the performance in the previous 12 months. The final assessment is also based on the previous 12 months performance.

## **5. Confidentiality**

The form is confidential and will normally only be seen by the appraisee, the appraiser, the appraiser's line manager (if applicable), the CEO and the MAT's HR Adviser. Completed forms will be stored securely. However, if information contained on the appraisal forms needs to be shared with other professionals for example Occupational Health, or used for management purposes which could include internal recruitment and selection, capability procedure and redundancy selection, then the contents of the form will be shared on a strictly need to know basis.