St. Theresa's Catholic Primary School

APPRAISAL POLICY and PROCEDURE FOR SUPPORT STAFF

Appraisal Policy and Procedure – Support Staff - Wales – February 2014 (Updated May 2020 – with minor amendment May 2022)
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"We learn together, we play together, we pray together, we grow together in the love of God"

St.Theresa's
Catholic Primary School

Validation Grid

Title	Appraisal Policy and Procedure for Support Teaching Staff
Author	Catholic Education Service
Associate Author	Barbara Costa
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Statutory	No

Headteacher Barbara Costa Barbara Costa

Chair of Governors Fiona Kerin

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Commitment to equality:

We are committed to providing a positive working environment which is free from prejudice and unlawful discrimination and any form of harassment, bullying or victimisation. We have developed a number of key policies to ensure that the principles of Catholic Social Teaching in relation to human dignity and dignity in work become embedded into every aspect of school life and these policies are reviewed regularly.

DEFINITIONS

In this Appraisal Policy and Procedure, unless the context otherwise requires, the following expressions shall have the following meanings:

i. 'Chair' means the Chair of the Governing Body as appointed from time to time.

ii. 'Clerk' means the Clerk to the Governing Body as appointed from time to time.

iii. 'Companion' means a willing work colleague not involved in the substance of the employee's performance under review by this Appraisal Policy and Procedure, or a trade union official, an accredited representative of a trade union or other professional association of which the employee is a member, who should be available for the periods of time necessary to meet the timescales under this Appraisal Policy and Procedure.

iv. 'Diocesan Schools Commission' means the education service provided by the diocese in which the School is situated, which may also be known, or referred to, as the Diocesan Education Service.

v. 'Governing Body' means the governing body of the School as constituted from time to time.

vi. 'Governors' means the governors appointed or elected to the Governing Body of the School, from time to time.

vii. 'Headteacher' means the most senior teacher in the School who is responsible for its management and administration.

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viii. ‘School’ means the school or college named at the beginning of this Appraisal Policy and Procedure and includes all sites upon which the School undertaking is, from time to time, being carried out.

ix. ‘Working Day’ means any day on which you would ordinarily work if you were a full-time employee. In other words, 'Working Day' may apply differently to teaching and non-teaching staff. However, part-time and full-time staff will not be treated differently for the purposes of implementing this Appraisal Policy and Procedure.

x. ‘Working Week’ means any week that you would ordinarily work.

1. APPLICATION

1.1 Subject to Paragraph 1.2 below, this Appraisal Policy and Procedure applies to you if you are an employee or worker at the School and you are not employed as a teacher or Headteacher (hereinafter referred to as an “employee” or “you”).

1.2 This Appraisal Policy and Procedure does not apply to those employees who are employed under a contract of employment for less than one term and those who are subject to the School’s Capability Policy and Procedure.

2. SCOPE

2.1 The purpose of this Appraisal Policy and Procedure is to establish a framework for a clear and consistent review of the overall performance of employees and for supporting their development within the context of the School’s plan for improving educational provision and performance and in order to enhance employees’ professional practice. The review shall have regard to any applicable codes of practice or standards applicable to the employee’s employment (including, where appropriate, the Professional Standards for Assisting Teaching) as referenced in their job description.

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2.2 The School is committed to ensuring respect, objectivity, belief in the dignity of the individual, consistency of treatment and fairness in the operation of this Appraisal Policy and Procedure. This commitment extends to promoting equality of opportunity and eliminating unlawful discrimination throughout the School community.

2.3 The School is committed to providing a supportive working environment for all employees through this Appraisal Policy and Procedure. Concerns about an employee's performance will always be addressed in the first instance through the operation of this Appraisal Policy and Procedure. Where it is not possible to resolve concerns through the operation of this Appraisal Policy and Procedure, it may be necessary to consider whether to invoke the School's Capability Policy and Procedure in accordance with Paragraph 9.

2.4 This Appraisal Policy and Procedure does not form part of any other procedure but relevant information from appraisal, including Appraisal Reports, may be taken into account in relation to the operation of other applicable policies and procedures.

2.5 An employee is entitled to have access, by arrangement, to their personnel file and to request the deletion of time-expired records in line with the provisions of the General Data Protection Regulation and the Data Protection Act 2018.

2.6 The Governors delegate their authority in the manner set out in this policy.

2.7 The School is committed to ensuring that the operation of this Appraisal Policy and Procedure does not lead to an unnecessary increase in workload for employees and Appraisers. This Appraisal Policy and Procedure will always be applied in a way which is robust and fair, whilst monitoring the impact on workload for employees, Appraisers and Governors.

3. APPRAISAL IN A CATHOLIC CONTEXT

3.1 Appraisal will be a supportive and developmental process designed to ensure that all employees have the skills and support they need to carry out their role effectively within the context of the School's ethos. It will help to ensure that employees are able to

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continue to improve their professional practice and develop as professionals in their area of expertise.

3.2 Arrangements for appraisal will be conducted in such a way that employees will be secure in the knowledge that their progress and commitment to the School are acknowledged.

3.3 Appraisal is a time to celebrate achievement wherever possible, as well as for discerning where there is scope for development. Challenge is at the heart of the Gospels. Christ challenged all whom he encountered, each according to their needs and readiness.

3.4 This Appraisal Policy and Procedure offers opportunities to ensure justice for employees and pupils alike and has the potential for the expression of Christian qualities such as honesty, self-knowledge, respect for others and their gifts, recognition of the needs and achievements of others, challenge of self and others, personal growth and openness.

4 THE APPRAISAL PERIOD

4.1 The Appraisal Period will run for twelve months from September to September.

4.2 Employees who are employed on a fixed-term or temporary contract of less than one year will have their performance managed in accordance with the principles underpinning this Appraisal Policy and Procedure. The length of the Appraisal Period will be determined by the duration of their contract of employment.

4.3 Where an employee starts their employment at the School part-way through the School's usual Appraisal Period, the Headteacher shall determine the proportionate length of the Appraisal Period for that employee with a view to bringing his/her Appraisal Period into line with the School's usual Appraisal Period (as per Paragraph 4.1 above) as soon as possible.

4.4 Where an employee transfers to a new post within the School part-way through an Appraisal Period, the Headteacher shall determine, in accordance with the employee,

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whether the Appraisal Period should be re-set and whether the Appraiser should be changed.

5 APPOINTING APPRAISERS

5.1 The Headteacher will appoint an Appraiser to appraise each employee of the School during the Appraisal Period. Appraisers should have received appropriate training for the role.

5.2 The Appraiser will set the employee objectives in accordance with Paragraph 6 below.

5.3 The Appraiser, through the Headteacher and/or Governing Body, may seek advice from other external advisers including, but not limited to, the Diocesan Schools Commission or the Local Authority.

5.4 Where it becomes apparent that an Appraiser appointed by the Headteacher will be absent for the majority of the Appraisal Period, the Headteacher may perform the duties of the Appraiser or delegate those duties to another employee for the duration of the absence.

5.5 Where an employee has an objection to the choice of Appraiser, their concerns will be carefully considered by the Headteacher and, where it can be reasonably accommodated, an alternative Appraiser will be provided.

6 PERFORMANCE MANAGEMENT DURING THE APPRAISAL PERIOD

6.1 Performance management will be a continuous cycle throughout the year and will involve three stages of planning, monitoring performance and reviewing performance.

Setting Objectives

6.2 The Appraiser will meet with the employee at the start of the Appraisal Period to plan and prepare for the annual appraisal cycle taking into account the professional development aspirations of the employee. This meeting is the Appraisal Planning and

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Preparation Meeting ("APP Meting"). The APP Meeting may be combined with the Appraisal Review Meeting (see Paragraph 8) held at the end of the previous Appraisal Period. At the APP Meeting the Appraiser and the employee will seek to agree the following:

(i) The objectives for the Appraisal Period;
(ii) The monitoring procedures to be used throughout the Appraisal Period, to include observation of classroom practice if appropriate to the employee's role; and
(iii) Any sources of information or data relevant to the employee's objectives for the Appraisal Period.

6.3 Appraisal objectives should reflect the Catholic identity and mission of the School and the values it proclaims[1] and Appraisers are expected to explore the alignment of such objectives with the School's priorities and plans, including the School Improvement Plan, working at all times to ensure that the Catholic ethos is preserved, developed and maintained.

6.4 Objectives may be revised following discussion with the employee if circumstances change. The School operates a system of moderation to ensure that all appraisals are carried out in a consistent manner. Objectives will be moderated across the School to ensure that they are consistent between employees with similar experience and levels of responsibility. Should the objectives not be agreed, a record of the employee's comments in relation to the objectives set shall be added to the appraisal documentation but the final decision on allocation of objectives rests with the Appraiser.

6.5 The objectives set for each employee will, if achieved, contribute to the School's plans for improving educational provision and improving the progress, development and well-being of the pupils at the School. This will be ensured by quality assuring all objectives against the school improvement plan.

[1] Such values should include the principles of Catholic social teaching in respect of justice for all, the needs of the whole person, respect for the individual and the community and the preferential option for the poor. More information about these principles and how they might apply in the area of appraisal can be found in the CES User Guide.

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6.6 Objectives, where met, should contribute to improving the progress, development and well-being of pupils at the School as understood in relation to the Catholic nature of the School and so include the academic, spiritual, moral, social, emotional and cultural development of each pupil.

6.7 The objectives set for employees will be Challenging, Specific, Measurable, Achievable, Realistic and Time-bound and will be appropriate to the employee's role and level of experience.

6.8 The Appraiser will take into account the School's work/life balance strategy and the effects of an individual's circumstances, including any disability requiring the implementation of reasonable adjustments, when agreeing objectives and Appraisers will include a review of an employee's workload in the APP Meeting.

6.9 Following discussion between the Appraiser and the employee, set objectives may be revised by the Appraiser in accordance with the needs of the School and the employee, and any such revision(s) to set objectives will be recorded in writing and a copy will be provided to the employee.

7. REVIEWING PERFORMANCE

Gathering Evidence

7.1 In order to review performance, the Appraiser will need to rely on the available evidence obtained in connection with the employee's performance. The evidence required will depend on the employee's role and there possible, the evidence to be obtained should be agreed when the objectives are set.

7.2 When collecting evidence, the focus will be on using evidence which is readily available from day to day practice wherever possible.

Observation

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7.3 The School believes that observation of work practice is important both as a way of reviewing employee performance in order to identify any particular strengths and areas for development as well as gaining useful information which can inform School improvement more generally.

7.4 All observation of work in practice will be carried out in a supportive fashion and all feedback will be developmental. Observation of work in practice will not lead to unnecessary increases in workload.

7.5 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 come to light. Feedback will include discussion with the employee, highlighting their areas of strength and areas that need attention and will determine any appropriate action required.

Development and Support

7.6 Appraisal is a supportive process which will be used to inform the employee's continuing professional development. The School wishes to encourage a culture in which all employees take responsibility for improving the School through appropriate professional development. Professional development will be linked to the School's improvement priorities and, as far as possible, to the ongoing professional development needs and priorities of individual employees.

Informal Support

7.7 An employee's line manager may identify concerns on an informal basis at any time about any performance falling short of the standard expected by the School and/or the Governing Body.

7.8 An employee's line manager may also provide informal advice and appropriate support which may include training, coaching, mentoring, counselling, monitoring, working in a professional learning community, learning and development opportunities, supervision,

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occupational health, arrangements for observation of lessons taught by other teachers at the School or elsewhere or discussing practice with advisory teachers or other employees (as appropriate to the employee's role). These arrangements will take into account the employee's workload.

7.9 Informal support could include reaffirming the expectations that the School and/or the Governing Body has of the employee and what support may be provided to help the employee to meet those expectations.

7.10 Informal support may be recorded in writing and may be referred to at a later stage as evidence of an attempt to address the concerns identified using informal support and the outcome of such an attempt. Where any informal support is recorded in writing, the employee will be provided with a copy of any written record and will be given 5 Working Days to comment on the written record in writing.

Alternative Support

7.11 There may be a situation where the employee's line manager and/or the Appraiser considers that a recent promotion or job change has been a contributory factor in any unsatisfactory performance. In such a case, informal support should be provided as described in Paragraphs 7.7 to 7.10 above.

7.12 If such informal support is ineffective, the employee's line manager/Appraiser may offer the employee the option of agreeing to voluntarily give up the promotion or job change as an alternative to proceeding with formal action pursuant to Paragraph 9 of this Appraisal Policy and Procedure.

8. APPRAISAL REVIEW MEETING

8.1 At the end of the Appraisal Period, the Appraiser and the employee will attend an Appraisal Review Meeting ("ARM") to:

(i) assess the extent to which the employee has met the set objectives;

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(ii) determine whether there has been successful overall performance to meet the relevant standards expected; and

(iii) identify any additional support, training or development requirements.

8.2 The employee will receive not less than 10 Working Days written notice of an ARM.

8.3 The ARM is the end point to the Appraisal Period but performance and development priorities will be reviewed and addressed throughout the year at interim meetings (which shall be conducted in person or via other appropriate medium, depending on the circumstances) which may take place once a term. The School will consider employee workload when determining the frequency of such interim meetings.

8.4 Within 10 Working Days of the ARM the employee will receive a written Appraisal Statement recording the main points made by the Appraiser and the employee at the ARM and the conclusions reached. The Appraiser should seek to agree the Appraisal Statement with the employee but, in any event, the employee has the right to add comments to the Appraisal Statement within 10 Working Days of receiving the Appraisal Statement, and such comments will form part of the Appraisal Statement.

8.5 The content of the Appraisal Statement may form part of the discussions at the APP Meeting (see Paragraph 6.2).

8.6 Where it has not been possible for employees to fully meet their objectives because the agreed support has not been provided this will be taken into account at the ARM.

9. EMPLOYEES EXPERIENCING DIFFICULTIES

9.1 It is the School's aim, when dealing with an employee experiencing difficulties, to provide support and guidance through the appraisal process in such a way that the employee's performance improves and the problem is, therefore, resolved.

9.2 Where it is apparent that an employee's personal circumstances are leading to difficulties at School, the School will aim to establish informally whether the reason is due to ill-health, lack of competence, misconduct or other mitigating personal

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circumstances. Support will then be offered and/or appropriate action taken as soon as reasonably practicable, without waiting for the ARM detailed in Paragraph 8. Support could include informal advice and appropriate support which may include training, coaching, mentoring, counselling, monitoring, working in a professional learning community, learning and development opportunities, supervision, occupational health, arrangements for observation of lessons taught by other teachers at the School or elsewhere or discussing practice with advisory teachers or other employees (as appropriate to the employee's role). These arrangements will take into account the employee's workload.

9.3 If an Appraiser identifies through the appraisal process, or via other sources of information, that the difficulties experienced by the employee are such that, if not rectified, could lead to the School's Capability Policy and Procedure being invoked, the Appraiser, the Headteacher or a member of the senior leadership team (as appropriate) will meet with the employee to:

a) Give clear written feedback to the employee about the nature and seriousness of the concerns;
b) Give the employee the opportunity to comment on, refute, explain and discuss the concerns;
c) Give the employee at least 5 Working Days' notice that a meeting will be held to discuss targets for improvement alongside a programme of support, and inform the employee that they have the right to be accompanied at any such meetings by a Companion;
d) In consultation with the employee at the above meeting, an action plan with support will be established (e.g. coaching, training, in-class support, mentoring, structured observations, visits to other classes or schools or discussions with advisory teachers or other employees, (as appropriate to the employee's role), that will help address those specific concerns;
e) Make clear how progress will be monitored and when it will be reviewed; and
f) Explain the implications and process if no, or no sufficient, improvement is made.

9.4 The employee's progress will continue to be monitored as part of the appraisal process and a reasonable time will be given for their performance to improve. The relevant monitoring period will depend on the circumstances but will usually be for a period of

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between 6 and 12 Working Weeks, with appropriate support as agreed in the action plan detailed in Paragraph 9.3(d) above in order that the aim of improving performance can be achieved. During this monitoring period the employee will be given regular feedback on his or her progress and arrangements will be made to modify the support programme if appropriate.

9.5 At the end of the review period referred to in Paragraph 9.4 above, if sufficient improvement is made, such that the employee is performing at a level that indicates there is no longer a possibility of the School's Capability Policy and Procedure being invoked, the employee will be informed of this at a formal meeting with the Appraiser. Following this meeting, the appraisal process will continue as normal. The employee will be given at least 5 Working Days' notice of such formal meeting and will have the right to be accompanied by a Companion. The outcome of such meeting will be confirmed in writing to the employee within 5 Working Days of the meeting taking place.

9.6 If no, or no sufficient, improvement has been made by the end of the monitoring period referred to in Paragraph 9.4 above, the employee will be invited to a transition meeting with the Appraiser to determine whether the School's Capability Policy and Procedure needs to be invoked or whether the appraisal process will remain in place. The employee will be given at least 5 Working Days' notice of such meeting and shall be entitled to be accompanied at the meeting by a Companion. The outcome of such meeting will be confirmed in writing to the employee within 5 Working Days of the meeting.

9.7 Prior to invoking the Capability Policy and Procedure, the Appraiser will seek to ensure that the employee has undergone an appropriate period of induction to their role, an up to date job description has been issued to them, professional standards and overall expectations of performance have been made clear and the employee's performance has been monitored and feedback has been provided.

9.8 Whilst the records of any ARM or APP Meeting does not form part of any formal capability or disciplinary procedures, any relevant information from the appraisal process including the contents of the Appraisal Statement may be taken into account by those responsible for taking decisions about capability and disciplinary matters.

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10. APPEALS

10.1 Employees have a right of appeal against any of the entries in the Appraisal Statement and a separate right of appeal against a decision to invoke the School's Capability Policy and Procedure made at a meeting as set out in Paragraph 9.6 above. If an appeal relates to a decision about pay, the employee is referred to the School's Pay Policy and Procedure.

10.2 An appeal in accordance with Paragraph 10.1 must be made in writing to the Clerk and lodged within 10 Working Days of receipt of the Appraisal Statement or the letter confirming the outcome of the meeting provided for in Paragraph 9.6.

10.3 The appeal letter must set out the grounds of the appeal in detail. Further evidence can be submitted prior to the appeal review subject to the employee obtaining the agreement of the School as to the date by which such further evidence should be submitted for consideration.

10.4 The Governing Body will appoint an Appeals Officer to conduct an appeal review who will usually be the Headteacher unless they have participated in the appraisal review which is being appealed, in which case the Appeals Officer will be another person appointed by the Headteacher who has not participated in the appraisal which is the subject of the appeal.

Procedure

10.5 The Headteacher will, where appropriate, provide the Appeals Officer and anyone appointed to assist the Appeals Officer, with a copy of the Appraisal Statement and the written objectives which were set for the employee, within 5 Working Days of receiving the appeal letter.

10.6 The appeal review will normally be carried out within 10 Working Days of the Appeals Officer receiving the Appraisal Statement.

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10.7 The Appeals Officer will confirm the outcome of the appeal review in writing to the employee within 5 Working Days of the date of the appeal review taking place. The decision of the Appeals Officer is final and there will be no further right of appeal. The outcomes of the appeal review are that:

(a) the Appeals Officer may decide that the appraisal has been carried out satisfactorily (and make observations) and uphold the entries made by the Appraiser in the Appraisal Statement; and/or

(b) the Appeals Officer may uphold the decision under Paragraph 9.6; and/or

(c) the Appeals Officer may uphold the employee's appeal and overturn the decision made in the meeting under Paragraph 9.6. Where such appeal relates in whole or in part to entries in the Appraisal Statement, the Appeals Officer will amend the Appraisal Statement with the agreement of the Appraiser; and/or

(d) The Appeals Officer may order that a new appraisal review be carried out. In such a case, the Appeals Officer must identify which appraisal procedures must be repeated and those procedures identified as needing to be repeated, must be completed within 15 Working Days. A new Appraiser must be appointed to carry out the procedures ordered to be repeated.

10.8 Where an appeal is against entries in the Appraisal Statement and a decision under Paragraph 9.6, the appeals will be heard together.

11. COMPANION

11.1 Where a meeting is held under Paragraphs 9 or 10 above, you may be accompanied by a Companion.

11.2 You must let the person appointed to hold such meeting under Paragraphs 9 or 10 above know who your Companion will be at least one Working Day before the meeting.

11.3 If you have any particular reasonable need, for example, because you have a disability, you can also be accompanied by a suitable helper.

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11.4 Your Companion can address the meeting in order to:

(a) put your case;
(b) sum up your case;
(c) respond on your behalf to any view expressed at the meeting, and
(d) ask questions on your behalf

11.5 Your Companion can also confer with you during the meeting.

11.6 Your Companion has no right to:

(a) answer questions on your behalf;
(b) address the meeting if you do not wish it; or
(c) prevent you from explaining your case.

11.7 Where you have identified your Companion and they have confirmed in writing to the relevant person appointed under Paragraphs 9 or 10 that they cannot attend the date or time set for the meeting, the meeting will be postponed for a period not in excess of five Working Days from the date set by the School to a date and time agreed with your Companion. Should your Companion subsequently be unable to attend the rearranged date, the meeting may be held in their absence or written representations will be accepted.

12. TIMING OF MEETINGS

The aim is that meetings under this Appraisal Policy and Procedure will be held at mutually convenient times but depending on the circumstances, meetings may:

12.1 need to be held when you were timetabled to assist with lessons (if that is appropriate to your role);
12.2 exceptionally be held after the end of the School day;
12.3 not be held on days on which you would not ordinarily work;

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12.4 be extended by agreement between the parties if the time limits cannot be met for any justifiable reason.

13. VENUE FOR MEETINGS

Any meeting held under Paragraphs 9 or 10 may be held off the School site to minimise any distress to the employee.

14. ASSISTANCE

Where matters fall to be decided under Paragraphs 9 or 10, the Diocesan Schools Commission may send a representative to advise the School.

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