



Archdiocese of
Birmingham



All Saints Catholic Collegiate

St Maria Goretti Catholic Academy

**Support Staff appraisal
and capability Policy**

POLICY

This policy has been adopted on behalf of all five academies in the All Saints Catholic Collegiate (ASCC)

St. Augustine's Catholic Academy
St. Gregory's catholic Academy
St. Maria Goretti Catholic Academy
Our Lady's Catholic Academy
St. Thomas More Catholic Academy

Approval and review

Committee to approve policy	Finance and Resources
Date of Board / Academy Committee Approval	Mr Andrew Capper
Chair of Board / Academy committee – Name	March 2016
Signature	
Chair of Board	Mrs Carole Knight
Head teacher	Mrs M Yates
Signature	
Policy review period	12 months
Date of policy review	March 2017

MISSION STATEMENT

With respect for God and united in faith, we place service before self to inspire hearts and minds.

By achieving together through our love and faith, we place Christ at the centre of all we do.

Our Academy ensures that Christ is at the centre of all that we do and that every member of our community is known, loved and respected.

Through the Gospel Values of love, reconciliation, justice and peace we recognise everyone as a Child of God.

We work together so that our pupils are supported to serve others and achieve their full potential in a caring, safe and secure environment.

United in Faith, Love and Learning

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Glossary:

This procedure applies to school based support staff. Unless otherwise indicated the following terms are interchangeable:

Headteacher – applies to Headteacher or Line Manager

Governors – applies to members of the schools Governing Body

Appeal Governors – applies to members of the schools Governing Body

1.0 Introduction

1.1 This procedure has been adopted by the Governing Body of _____ School on _____ (date) for the purposes of managing appraisals and capability of support staff.

2.0 Purpose

2.1 The purpose of these procedures is to provide a framework for the clear and consistent assessment of the overall performance of Support Staff. It is intended to support the development and aspirations of Support Staff within the school's plan for improving educational provision.

2.2 The Capability policy also details arrangements which will apply when Support Staff fail to perform at the level expected of them. It provides a framework to support those employees in such cases to improve performance.

2.3 This policy is not intended to address issues of willful under-performance; these cases should be addressed using the Disciplinary Procedure, nor should it be applied to cases of unsatisfactory performance due to absence which should be dealt with using the Supporting Attendance Policy.

2.4 Part A of the policy, which covers appraisal, applies to all Support Staff employed by the school, except those employees who are within their probationary period and those who are subject to Part B of the policy.

2.5 Part B of the policy, which sets out the formal capability procedure, applies only to Support Staff where there are concerns about performance that the appraisal process has been unable to address.

3.0 Principles

3.1 Appraisal is a supportive process which is used to inform continuing professional development. The school wishes to encourage a culture in which all Support Staff take responsibility for improving their practice through appropriate professional development. The school aims to support employees to achieve their professional aspirations as identified through the appraisal process.

3.3 Professional development will be linked to school improvement priorities and to the ongoing professional development needs and priorities of individual employees.

3.4 If sickness absence appears to have been triggered by the commencement of formal capability procedures, the case will be dealt with in accordance with the Supporting Attendance policy and the employee will be referred immediately to Occupational health service. Having sought advice from Occupational Health Service monitoring for example evidence gathering and/or formal procedures may continue during a period of sickness absence.

3.5 Due to the formal nature of capability meetings, all meetings held under part B of this policy will be arranged with a minimum of 5 working days' notice in writing and with the right to be accompanied by either a Trade Union Representative or colleague. A record will be kept of all formal meetings.

- 3.6 Appraisal reports are confidential and access to them will usually be limited to the Appraisee, the appraiser, the head teacher and / or nominated member of the senior management team. In some circumstances nominated members of the Governing body may require access to an appraisal report either for quality assurance purposes or to inform decision meetings if the appraisee is subject to Capability proceedings. In such circumstances the appraisee will be made aware that the documents are being shared and for what purpose.
- 3.7 Information in the Appraisal report relating to continuous professional development will be shared with the school's CPD coordinator in order that arrangements can be made to support CPD.
- 3.8 Resources will be made available to support development where it is relevant and where it has been agreed at an Appraisal Review meeting.

Part A – Appraisal

Appraisal is a supportive and developmental process designed to ensure that all employees have the skills and support they need to carry out their role effectively. The process will help to ensure that employees are aware of the required standards and expectations of them and enable them to continue to improve their professional practice and to develop in their role.

4.0 The Appraisal Period

4.1 The appraisal cycle will last for a period twelve months; the start date will be determined by the School

5.0 Appraisers

5.1 Either the Headteacher will be the appraiser for all employees in school or the role will be delegated to relevant trained Senior Managers. Where the role is delegated the nominated Appraiser will conduct the full cycle of the appraisal process.

5.2 The Headteacher has ultimate responsibility for ensuring that the appraisal process is conducted in a fair and consistent manner, this applies both where the Headteacher is the appraiser and when the role is delegated. The Headteacher may however delegate the operational responsibility for monitoring consistency to a member of the Senior Leadership Team.

5.3 In preparation for the Appraisal discussion the appraiser should complete an individual assessment of the Appraisee's performance using the template in appendix 1 and gather appropriate evidence to support their judgments, examples of sources of evidence can be found in appendix 2.

6.0 Self Assessment

6.1 The Appraisal Review Form can be found at appendix 1

6.2 Appraisees will be encouraged to complete the appraisal review form in preparation for the appraisal review meeting assess their performance against the identified work areas, sufficient time should be set aside to complete this during the working day.

6.3 Appraisees should be encouraged to gather relevant documentation or examples which support their opinions in order to inform the Appraisal discussion.

7.0 Commencing the Appraisal Process

7.1 Either before or as soon as practicable after the start of the appraisal period, the appraiser and appraisee should meet for the appraisal discussion. This meeting provides an opportunity for the Appraiser and Appraisee to complete the appraisal review form and discuss any evidence. It is also an opportunity for the appraiser to present their assessment of the Appraisee's performance to date, for the Appraisee to respond and to set objectives for the appraisal period.

7.2 The objectives set for each appraisee will be linked to the national standards where they exist and school priorities. Objectives will be Specific, Measurable, Achievable, Realistic and

Time-bound and will be appropriate to the employee's role and level of experience. The appraiser and employee will seek to agree the objectives but, if that is not possible, the appraiser will determine the objectives and a note made that they were not agreed. Where exceptional circumstances arise objectives may be revised.

7.3 Objectives allow for challenge and development of the Appraisee but should be achievable within the timescales provided. In determining objectives consideration should be given to the workload implications to both the Appraiser and Appraisee. It is recommended that three objectives are set to allow for one personal, one departmental and one whole school objective to be determined.

7.4 Where performance concerns exist it may be necessary to set them additional objectives to ensure that the most appropriate support can be provided.

8.0 Assessing performance

8.1 The Appraiser is required to score the employee on how well they are performing in each identified work area. A decision then needs to be made between both parties on the agreed score and objectives set.

8.2 The assessor should make objective judgments and provide evidence for these where possible, examples could include:

- Lesson observations
- Peer observation
- Examples of work
- Feedback from line manager
- External reviews eg. Audit, Local Authority, OFSTED

8.3 Appraisees who have responsibilities outside the classroom but within the school should also expect to have their performance of those responsibilities assessed in an appropriate way; this will be discussed and determined at the appraisal discussion.

9.0 Appraisal Review Feedback

9.1 As soon as practicable following the completion of the Appraisal Review form and objectives should be provided to the employee.

The appraisal form will include:

- record of the Appraisee's objectives for the appraisal period of 12 months;
- an agreed assessment of the Appraisee's professional development needs and
- identification of any action/support that should be taken to assist the Appraisee in meeting these needs.

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

10.1 Review Meeting

10.1 A review meeting should be held 6 months into the cycle. During this meeting progress against objectives and performance to date should be discussed. Where concerns to date have been raised at this review meeting additional support can be arranged to attempt to address this.

11.0 Concerns about Performance

11.1 If at any point during the appraisal cycle evidence emerges which highlights concerns regarding an Appraisee's performance the Appraiser will arrange a meeting with the Appraisee to discuss the concerns.

11.2 At this meeting the appraiser and employee will seek to agree a period for improvement and support, if agreement is not possible the Appraiser will determine this and a note will be made that agreement was not possible. The length of this period should be proportionate to the required improvements but should not exceed six weeks.

11.3 During this period all agreed support should be provided to ensure that the Appraisee is afforded the best opportunity to improve performance.

11.4 Following the agreed review period a Review Meeting will be held to evaluate the review period and progress made. This meeting should follow the format detailed in appendix 3. There are two possible outcomes to this review:

- 1) If the Appraiser is satisfied that the Appraisee has made, or is making, sufficient improvement, the appraisal process will continue as normal, with any remaining issues continuing to be addressed through that process.
- 2) If the Appraiser is not satisfied with the level of progress made, the Appraisee will be notified in writing that their performance will now be managed under the capability procedure rather than Appraisal. This will trigger the commencement of the formal capability procedure.

11.5 The capability procedures will be conducted as in part B of this policy.

Part B – Capability Procedure

The purpose of the Capability Procedure is to improve performance through support and monitoring and applies where concerns have been raised about employee's performance which has not been able to be rectified during the Appraisal Process.

12.0 Capability Overview

12.1 It is expected that the Capability process will take no more than thirteen working weeks however each review period should be no less than four weeks to allow time for improvements to be made. An overview of the process and timescales can be found in appendix 5

12.2 It is suggested that the stress risk assessment (found in appendix 4) is completed on commencement of formal Capability procedures and is revisited as necessary throughout the monitoring and review process.

13.0 Notification of Formal Capability Meeting

13.1 As with all Formal Meetings held under this procedure, at least five working days' notice will be given in writing of the Formal Capability meeting. This will contain sufficient information regarding the concerns about performance, copies of evidence of these concerns and their possible consequences, to enable the employee to prepare.

13.2 Prior to the Formal Capability meeting it is suggested that Headteachers contact their HR Advisor, who will be able to offer advice and attend the meeting, if required.

13.3 At all meetings the employee may be accompanied by either a trade union representative or a work colleague and should be encouraged to seek support.

14.0 Formal capability meeting

14.1 This meeting will be conducted by the Headteacher or formally nominated member of the Senior Leadership Team.

14.2 During the meeting a discussion should take place between employee and Headteacher regarding the performance concerns and the employee should be given the opportunity to respond. This may provide new information or a different context to the information/evidence already collected.

14.3 Once all representations have been heard an adjournment will follow to allow the person conducting the meeting to consider the information presented and make a decision on if and how the case will progress.

14.4 The person conducting the meeting has four options:

- 1) To conclude that there are insufficient grounds for pursuing the capability issue and that it would be more appropriate to continue to address the remaining concerns through the appraisal process. In such cases, the capability procedure will come to an end. A further meeting may then be arranged under the appraisal process to reassess objectives and timescales.

- 2) To choose to suspend the meeting to gather more information in light of the employees response or to give more time to consider the information. In this case a date for the reconvened meeting should be agreed.
- 3) To decide that there is a need to instigate the Formal Capability Process. In this case a Formal Written Warning should be issued to the employee. The Formal Capability meeting will continue following the format at appendix 6 and seek to agree a Performance Improvement Plan (template found in appendix 9); if agreement on this is not possible the person conducting the meeting will determine the content of the plan.
- 4) To decide that there is a need to instigate the Formal Capability Process. However if issues raised are so serious a Final Formal Written Warning should be issued. The advice of HR must be sought prior to this action. Where a Final Formal Written Warning is to be issued the meeting format at appendix 8 should then be followed and should seek to agree an appropriate Performance Improvement Plan, (template found in appendix 9) where agreement is not possible the person conducting the meeting will determine the content of the plan.

14.5 The outcome of this meeting will be confirmed in writing within ten days along with details of the right to appeal the decision. This letter will also inform the employee of the matters covered during the meeting, (and where appropriate) a copy of the Performance Improvement Plan, details of the timescales and the review stage. A template letter can be found in appendix 7.

14.6 Appeals should be made in writing to the Chair of Governors within ten working days of receipt of the letter confirming the warning being issued. Where an employee submits an appeal the process will continue whilst awaiting the outcome.

15.0 Monitoring and review period following a formal capability meeting

15.1 A performance monitoring and review period will follow the formal capability meeting, in line with the timescales outlined and will reflect the complexity and number of objectives set in the Performance Improvement Plan. Formal monitoring, evaluation, guidance and support will continue during this period.

16.0 Formal review meeting

16.1 On conclusion of the monitoring and review period the employee will be invited to a formal review meeting to review their progress and improvement. If the employee was issued with a final written warning initially they will be invited to a Final Review meeting.

16.2 Appendix 10 details the points to be addressed during this meeting.

16.3 After reviewing the progress made against the previously agreed targets, a decision should be made as to whether sufficient improvement has been made. There are two possible outcomes:

- 1) If the reviewer is satisfied that the employee has met the targets set out in the Performance Improvement Plan, the capability procedure will cease and the appraisal process will re-start, it may be necessary at this stage to revisit the original appraisal objectives. This decision should be confirmed in writing (appendix 11)

- 2) If the targets in the Performance Improvement Plan have not been met during the monitoring and review period, the employee will receive a Final Formal Written Warning.

16.4 Where a Final Formal Written Warning is issued, the employee will receive written information about the further monitoring and review period and informed in writing that failure to meet the Performance Improvement Plan, within the set timescale, may result in dismissal. This monitoring period should be determined with consideration to the targets set in the Performance Improvement Plan. This should be a minimum of four weeks to allow sufficient time for improvements to be made.

16.5 The employee is given the right of appeal against the Final Formal Written Warning; this should be made in writing to the Chair of Governors within ten working days of receipt of the letter confirming the warning being issued.

17.0 Final monitoring and Review Period

17.1 Following the final monitoring and review period, a final review meeting will be held, employees should be given ten working days notice of this meeting along with the right to be accompanied at the meeting by a Trade Union Representative or a work colleague.

17.2 This meeting will follow the format for the Formal Review meeting as described in appendix 10.

17.3 After reviewing the progress made against the previously agreed targets, a decision should be made as to whether the Performance Improvement Plan targets have been made. There are two possible outcomes:

- 1) If Performance Improvement Plan targets have been achieved during the further monitoring and review period, the capability procedure will end and the appraisal process will re-start. This decision should be confirmed in writing.
- 2) If Performance Improvement Plan targets have not been met the matter will be referred to the Governing Body for a decision to be made on whether the employee should be dismissed on the grounds of Capability.

17.4 The outcome of this meeting will be confirmed in writing within ten working days.

18.0 Decision Meeting

18.1 The employee will be given a minimum of ten working days notice of the decision meeting and will be given copies of any documentary evidence to be referred to during the decision meeting where possible ten days prior to the meeting. Employees should be informed that any documentation they wish to refer to during the meeting should be sent to the Chair of the decision meeting panel no later than two working days before the meeting.

18.2 The decision meeting panel should consist of three members of the governing body, one of whom will act as chair to the meeting. The meeting should follow the format in appendix 12.

18.3 There are three potential outcomes for the decision meeting:

- 1) That the panel determine that performance of the employee, in relation to the targets stated in the Performance Improvement Plan, have been met, therefore the employee should remain in post and the normal appraisal process will resume.
- 2) That the panel determine that performance of the employee, in relation to the targets stated in the Performance Improvement Plan have not been met due to exceptional circumstances and as such progress toward meeting those targets will be reviewed again after an agreed period.
- 3) That the panel determine that the employee has failed to make sufficient improvement in relation to the targets set in the Performance Improvement Plan and that the employee should be dismissed.

18.4 If a decision to dismiss has been taken, the employee will receive appropriate notice.

19.0 Appeal

19.1 An employee has the right of Appeal against their dismissal. Any appeal should be in writing to the Chair of Governors within ten working days of receiving the letter confirming the decision to dismiss, the grounds for appeal should be stated.

19.2 Appeals will be heard without unreasonable delay and will be heard by three Governors who have not previously been involved in the case. The meeting will take the format as describe in appendix 13.

19.3 The employee will be informed in writing of the outcome of the appeal hearing within ten working days.

19.4 Any decision made as a result of the appeal will be deemed final.