



# Rotherham Aspire Support Staff Appraisal Policy

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**Guidance Note on the Behaviours and Examples of  
Evidence Relating to Support Staff Competencies**

<b>Competency Name</b>	<b>Definition</b>	<b>Typically Observable Behaviours</b>
<b>Concern with Quality</b>	A concern for the quality of ones work and for the quality of work of one's subordinates (if applicable) and of the organisation as a whole.	<ul style="list-style-type: none"> <li>• Always concerned with the quality of his/her own work.</li> <li>• Always concerned with the quality of the team's work.</li> <li>• Concerned about the quality of service he/she offers.</li> <li>• Concerned about the reputation of the School, Academy or Department.</li> <li>• Tries to meet or exceed the requirements and expectations of others.</li> <li>• Takes a pride in his/her work.</li> <li>• Produces work that conforms to requirement in terms of accuracy and other quantitative quality standards.</li> </ul>
<b>Concern for Deadlines</b>	A concern to complete work tasks properly within prescribed timescales and to meet deadlines (self-imposed or deriving from goals set).	<ul style="list-style-type: none"> <li>• Deals with important tasks quickly.</li> <li>• Deals with work in priority order.</li> <li>• Asks about deadlines when given work.</li> <li>• Meet deadlines and completes work within approved timeframes.</li> <li>• Asks for support and resources when it is appropriate.</li> <li>• Keeps people informed of progress.</li> <li>• Is punctual with work.</li> <li>• Completes tasks thoroughly.</li> </ul>
<b>Interpersonal Effectiveness</b>	Creates and maintains effective working relationships with other people. Works well with others, both in close proximity and at a distance from them.	<ul style="list-style-type: none"> <li>• Gets on well with people.</li> <li>• Works cooperatively with others.</li> <li>• Supports other people.</li> <li>• Is a team player.</li> <li>• Lends a hand to others.</li> <li>• Supports his/her colleagues or staff.</li> <li>• Supports his/her line manager.</li> <li>• Is respectful and friendly towards others.</li> </ul>

<b>Acceptance of Responsibility</b>	Accepts responsibility for own work and for staff (where applicable). Is confident enough to make decisions and tackle tasks that are within own area of responsibility without asking the line manager.	<ul style="list-style-type: none"> <li>• Accepts responsibility for his/her own work.</li> <li>• Accepts responsibility for subordinates' work (where applicable).</li> <li>• Doesn't blame others when things go wrong.</li> <li>• Accepts responsibility for tasks assigned to him/ her readily.</li> <li>• Confident to take on tasks in areas of his/her responsibility without referring to his/her line manager.</li> </ul>
<b>Handling Pressures</b>	Has an ability to work effectively in an environment where tasks may need prioritisation and timescales may be short. Can change tasks and be flexible about priorities according to changes in circumstances.	<ul style="list-style-type: none"> <li>• Is adaptable and flexible.</li> <li>• Responds effectively to short deadlines.</li> <li>• Does important tasks first.</li> <li>• Does not worry unduly and allow this to affect his/her work.</li> <li>• Stays calm in a crisis.</li> <li>• Does not get easily irritated or annoyed.</li> <li>• Has a calming effect on other people.</li> <li>• Is not unduly emotional at work.</li> </ul>

## **Guidance for the Appraisee**

### **What is an Appraisal?**

The manner in which you approach an appraisal interview will be strongly influenced by your understanding of the purpose of the interview. Appraisal interviews should serve several purposes, including:

- To evaluate your performance over the reporting period, normally twelve months.
- To formulate action plans.
- To identify problems and/or examine possible opportunities related to the job.
- To improve communication.
- To provide feedback on job performances.
- To identify training and development needs.

### **How will I be assessed?**

Performance assessment will have two elements:

- The achievement of objectives (targets).
- An assessment of performance against competencies appropriate to support staff roles.

### **Objectives**

Three objectives will be agreed with your manager.

- The objectives will reflect both your individual needs and the School or Department's objectives and need.
- The objectives should be realistic, challenging, compatible, measurable and time-specific.
- You will be assessed as to whether or not you have achieved or exceeded the objectives.

### **Competencies**

- The competencies will reflect and describe the attributes expected of support staff members.
- They complement the achievement of objectives (what has been done) by examining your:
  - Concern for quality (the standard to which work has been carried out).
  - Concern for deadlines (the timeliness with which work has been carried out).
  - Interpersonal effectiveness (the way in which you have contributed to the team and the school community).
  - Acceptance of responsibility (your readiness to carry out your work).
  - Ability to effectively manage pressure and priorities.

## **How Do I Prepare for My Appraisal Interview**

- Prepare your notes. Use a blank appraisal record as your checklist for preparing for your appraisal discussion.
- Take some time to reflect on the year just gone and to think about possible objectives for the year to come.
- When you have considered your own suggested objectives, refer back to 'How will I be assessed' to ensure that they are appropriate.
- Refer to the list of competencies in 'How will I be assessed' or page 3 of the blank appraisal record, and ask yourself the following questions:
  - Can you comprehensively assess your own performance against all the competencies listed?
  - Do you have good evidence to support each competency? (see section below for further guidance on evidence).
  - Are the assessments consistent with or conflicting with your suggested objectives?
  - Can you demonstrate 'sustained performance' based on these assessments?
  - Can you identify any training needs through your consideration of these areas?

## **What Types of Evidence Should I Use?**

- Consider in advance what evidence is available to support your performance.
- There are no restrictions on the sources of evidence that can be considered.
- Be selective; choose quality evidence rather than quantity.
- Appraisees are not required to collect a portfolio of evidence, but to identify its source and availability.
- An Appraiser does have the right to check evidence if, in his/her judgement, it is appropriate.
- It is expected that in most cases the appraiser will know the appraisee well and so evidence will be shared between them; both you and your appraiser have a part to play in identifying evidence.
- Cite a range of types of evidence e.g. documents, data, activity, to present a picture of the consistency of your performance.

You may want to check over your thinking for consistency and completeness so that you feel quite at ease about the information available to you before you sit down with your appraiser.

## **What Will Happen During My Appraisal Interview?**

The Appraiser will arrange the Review Meeting in accordance with the School or Department's Support Staff Appraisal Policy.

The meeting will consist of:

- A review of each key element in the job (main activities and/or key result areas) discussing what has gone well and what has gone less well, and why.
- An examination of the results of the objectives, actions and personal development plans agreed at the last meeting.
- A discussion and agreement on the performance objectives for the next period in the shape of targets and standards of performance.
- A discussion and agreement on the appraisee's development objectives.
- A discussion and agreement on the actions to be taken to ensure that the performance and developmental objectives are achieved.
- A general discussion of any other matters of concern, including the appraisee's aspirations.
- A check that there is mutual understanding of the objectives and action plans.

In the event that the agreement is difficult, the appraiser must complete the appraisal record form as he/she sees fit and allow you to make comments as necessary. The Headteacher or designated Senior Leader/Manager (or a person acting under their express delegated authority) will make a final decision after discussion with both the staff member and the appraiser.

All documentation produced and discussions held during the appraisal meeting will be kept strictly confidential.

## **What Can I Do If I Am Unhappy With My Appraisal?**

If you are unhappy with:

- The way in which your appraisal was conducted; and/or
- The quantitative elements within the appraisal that were documented as a result of the review meeting.

You should initially raise this matter with the Headteacher or designated Senior Leader/Manager who will make every effort to reach an agreement informally. If the matter is not resolved to your satisfaction, the objection should be pursued in accordance with the group's grievance procedure.

## **Guidance for Line Managers**

### **Introduction**

The manner in which you approach an appraisal interview will be strongly influenced by your understanding of the purpose of the interview. Appraisal interviews should serve several purposes, including:

- To evaluate performance over the reporting period (normally 12 months).
- To formulate action plans.
- To identify problems and/or examine possible opportunities related to the job.
- To improve communication.
- To provide feedback on job performance.
- To identify training and development needs.

### **Agenda Setting**

The whole point of the review is that it should be a joint discussion, neither party should dominate. The agenda is therefore set by both the appraiser and appraisee, and should consist of the following terms.

- A review of each key element in the job (main activities and/or key result areas) discussing what has gone well and what has gone less well, and why.
- An examination of the objectives, actions and personal development plans agreed at the last meeting.
- A discussion and agreement on the performance objectives for the next period in the shape of targets and standard of performance.
- A discussion and agreement on the appraisee's development objectives.
- A discussion and agreement on the actions to be taken to ensure that the performance and developmental objectives are achieved.
- A general discussion of any other matters of concern, including the appraisee's aspirations
- A check that there is mutual understanding of the objectives and action plans.

### **Preparation**

This is one of the most important areas in performance management process and you should give it proper time and attention. As a guide, the following actions should be taken.

- Prepare your notes and gather evidence on the appraisee's performance.
- Reflect on the year just gone and think about any developmental needs, action plans and objectives for the year to come.
- Set an appropriate time and place for the appraisal and give the appraisee time to prepare.
- Give the appraisee a blank copy of the appraisal record form to complete together with the guidance for the appraisal document,
- Request a copy of the appraisee's completed appraisal record as this will form the basis of the discussion at the appraisal meeting.

## **The Meeting**

A constructive review meeting is most likely to take place if you:

- Set aside a reasonable amount of time and allow for no interruptions.
- Encourage appraisees to do the most of the talking.
- Actively listen to what they are saying.
- Analyse performance, not personality concentrate on what appraise have done, not the sort of person they are, unless it is relevant to the job role.
- Keep the whole period under review; do not focus on isolated or recent events.
- Adopt a 'no surprises' approach, performance problems should have been identified and dealt with at the time they occurred.
- Recognise achievements and reinforce strengths.
- Do not use the time to instigate capability procedures.

The meeting should always be ended on a positive note with agreed action plans and an understanding of how progress in implementing them will be reviewed. Once the meeting has finished, the Appraisal Summary page of the Appraisal record will need to be filled in by both yourself and the appraisee and signed and dated. A copy of the record should be retained open the appraisee's personnel file.

## **Training**

Training in the performance management process is available through the HR team in the form of HR workshops. Support is also available by speaking to your local HR manager.



**DISCUSSION OF OBJECTIVES AND THOSE TO BE SET 201/2018**

**Reviewee**

**Reviewer**

**Key Objectives for Forthcoming Year**

	<b>Objectives</b>	<b>Notes on How the Objective Might be Achieved/Required Resources</b>	<b>By When?</b>
<b>1</b>			
<b>2</b>			
<b>3</b>			

**Key Objectives from Previous Year**

	<b>Objectives</b>	<b>Objective Met?</b>	<b>Comments (include evidence</b>
<b>1</b>			
<b>2</b>			
<b>3</b>			

## Discussions of Work Competencies

		Examples of Activities, Actions or Behaviours Stating Where Evidence To	Areas Identified for Further Development
<b>1</b> <b>CQ</b>	<b>Concern for Quality</b>		
<b>2</b> <b>CD</b>	<b>Concern for Deadlines</b>		
<b>3</b> <b>IE</b>	<b>Interpersonal Effectiveness</b>		
<b>4</b> <b>AR</b>	<b>Acceptance of Responsibility</b>		
<b>5</b> <b>HP</b>	<b>Handling Pressure</b>		

## Appraisal Summary

Staff Member	Appraiser
Name:	Name:
Job Title:	Job Title:
School department	

Objective	Exceeded	Achieved	Partly Achieved	Not Attempted	Not Achieved
1					
2					
3					

Use of Competency	Exceptional	Very Effective	Effective	Marginal	Poor	N/A
1 (CQ)						
2 (CD)						
3 (IE)						
4 (AR)						
5 (HP)						

<b>Appraiser's Comments</b>	<b>Staff Members Comments</b>
<b>Signature</b>	<b>Signature</b>
<b>Date</b>	<b>Date</b>

## Personal Development Plan

Name: ..... Job Title: .....

Your personal development plan should be discussed between you and your appraiser. It is expected that it will include reference to:

1. Any training and/or experience you require to help you deliver this year's objectives and to further develop your performance.
2. Any training and/or development you require to help you improve your skills and/or knowledge that will also be beneficial.
3. The proposal delivery mechanism (s) for (i) and (ii) e.g. training course (s), coaching, on the job training, study, project experience, special work allocation etc
4. The resources required (if any) to support the development plan, and proposals for how and when these will be obtained.
5. The target for completion and any appropriate dates to review progress before completion.

### Action Plan

Setting Out Proposals that address 1 – 5 above.

<b>Staff members signature:</b>	<b>Appraisers signature:</b>
<b>Date:</b>	<b>Date:</b>

## **Appendix I**

### **ADDENDUM TO THE APPRAISAL POLICY TO ENABLE GOVERNING BODIES TO ADOPT A SINGLE POLICY FOR THE WHOLE SCHOOL WORKFORCE.**

#### **Support Staff**

The provisions set out within the school's Appraisal Policy relate to the statutory requirements for the appraisal processes and the links to pay progression that have been established for staff employed on School Teachers Pay and Conditions.

It is important, however, that Rotherham Aspire acknowledges and formally records that whilst these statutory elements do not apply to support staff, all of the principles underpinning appraisal as outlined in the school's Appraisal Policy apply equally to those staff.

Rotherham Aspire is committed to ensuring that *all* staff receive the appropriate support to enable them to develop professionally in their respective roles and maximise their contribution to the school's overall efficiency and effectiveness. Therefore, support staff at Rotherham Aspire will be provided with a comparable appraisal process to that of teachers.

Whilst all of the principles underpinning appraisal as outlined in the school's appraisal policy apply equally to support staff, specific differences will exist in the practical application of the policy to those staff. These differences are outlined below.

#### **The Appraisal Process for Support Staff**

##### **I. Reviewing Progress**

Rotherham's pay and grading structure provides opportunity for annual incremental pay progression, within the grade, for all support staff, linked to performance.

Progression will be dependent upon:

- having a successful appraisal
- no formal final written warnings (sickness warnings not included).

Increments are awarded from the 1<sup>st</sup> July each year following an assessment of performance based on an assessment of the previous year. At Rotherham Aspire the appraisal cycle for support staff will be completed no later than 31<sup>st</sup> October.

If an increment is to be withheld then the Headteacher will need to inform their payroll

provider.

Once awarded, increments will not be removed.

For employees who on assessment may be judged not to have fully met their appraisal objectives there are a number of considerations to be made, and options available:

- In the case where an increment is withheld due to an unsuccessful appraisal, unachieved performance objectives may be carried forward into the next appraisal cycle and appropriate support and development planned. Should it be appropriate, the position could be reviewed at a 6 month interim review and, subject to satisfactory assessment, can be awarded from a date prior to the end of the formal cycle.
- Other issues such as inability or unwillingness to perform should be considered under the school's capability or disciplinary procedures as applicable. This is assuming the individual has been provided with sufficient notification and opportunities to improve performance.

#### New Starters

- In the case of new starters, promotions, regradings and redeployees assessment includes successful completion of an induction programme, basic training and the probation period (where appropriate).
- Employees with less than 6 months service in the band by 1<sup>st</sup> July i.e. those people appointed between 1 February and 30 June will be assessed 6 months after their date of appointment. Pay progression may be awarded at that time on the basis of performance.
- If the start date or appointment date into new grade falls between 1 July and 31 January, then the normal appraisal cycle should be used for assessment.

#### Long Term Absence (Sickness or Maternity)

- If an employee has had a long period of absence of 6 months or more i.e. maternity or sickness then incremental progression will not be withheld for this reason alone.
- In rarer situations of longer periods of absence e.g. a full year due to maternity or sickness, providing a satisfactory assessment period has been completed on return to work then increments can be awarded to place the employee at exactly the same point as they would have been had they not been absent. I.e. up to 2 increments awarded from the one assessment.