

# Appraisal for Support Staff



## Document accessibility

If you would like this information in another language or format please speak to your Headteacher/Principal.

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## 1. Background to Appraisal

- 1.1 This guidance document sets out a model process for the Appraisal of support staff in schools. For the purpose of this document the term support staff applies to all school employees who **are not** employed on teachers' pay and conditions, or who are employed by an agency, those undergoing their probationary period or those subject to capability/disciplinary procedures. If you already have an Appraisal process in school that you feel is satisfactory or exceeds this one then you could continue to use it.
- 1.2 Any person carrying out an Appraisal review is referred to in this document as a '**reviewer**' and the member of staff being reviewed is the '**reviewee**'.

## 2. Aim/Purpose

- 2.1 It is recommended that the Appraisal review takes place once a year and ties in with the academic year. It is therefore appropriate that the review, planning and objective setting processes are conducted in either July or September. This will allow for time to submit CPD/training requirements to the school CPD leader who will have an opportunity to feed this information into the training audit in October which informs future external training programmes. It is important to be committed to ongoing professional dialogue throughout the year and you may wish to have a formal midyear review session so that you can review progress and address any issues.
- 2.2 The purpose of the Appraisal is to develop all staff and to raise standards of performance, to ensure job satisfaction, a high level of expertise and progression of staff in their chosen career plan. Appraisal provides an opportunity for all staff to focus on the detail of their feedback on their performance and to develop and extend their skills, knowledge and understanding.
- 2.3 Support staff are a valuable asset within our school/academy and it is important that in order for them to perform their roles effectively they have clear job description, set objectives, regular review of their performance and training needs identified. Appraisal should be an ongoing, continual process, not just an annual event and there should be no surprises. Successful Appraisal leads to improvement and development of the workforce in order to deliver effective services within our schools.
- 2.4 All staff should have a copy of their current job description so that they can make reference to any areas within it and also highlight any that have changed. It is good practice to review job descriptions annually and this can be discussed at the review, a job description should be specific and personalised. If it is agreed that a job descriptions is inaccurate then it should be revised and submitted to job evaluation for re-evaluation.
- 2.5 All staff should consider any future training that they may need and discuss it at the review meeting.

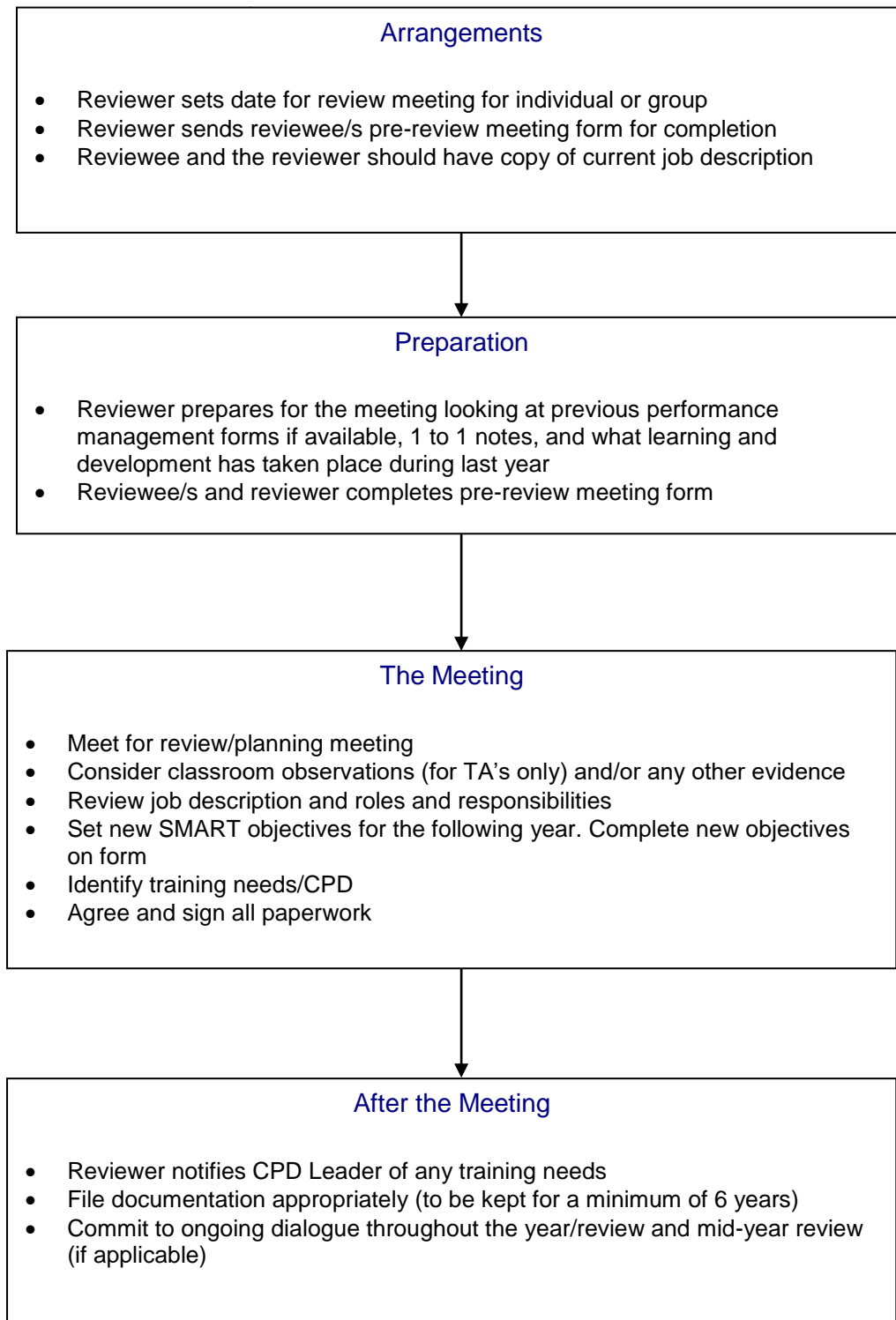
### 3. The process

A balanced approach to Appraisal includes: -

- formal evaluation of performance which both reviews achievement against objectives and sets new objectives and identifies learning and development needs / CPD and a plan for meeting them
- ongoing structured reviews of progress against performance/ success criteria linked to School Improvement Plan/SEF/school development plan and relevant occupational standards
- continuous feedback which acknowledges success and addresses any problems – no surprises
- objectives relating to the school improvement/school development plan or/and any other relevant targets and the school self-evaluation. It may be more difficult to establish these links for some posts and it may be useful to use group targets and link to job roles for e.g. Lunchtime Supervisors and cleaners. (see objectives exemplar document)

All staff expected to conduct Appraisal reviews should be given training and support to carry out this role.

#### 4. Appraisal Flowchart



## 5. The Appraisal Review Management Steps

### Step 1: The Arrangements

Appraisal should be conducted in a setting that ensures privacy and allows sufficient time for a thorough discussion.

### Step 2: Preparation: Before the review/planning meeting

The Appraisal pre-review meeting forms should form the basis of the discussion between the reviewer and the reviewee together with the job description.

This will include:-

- successes/achievements over the last year against previous objectives
- factors that have helped and hindered achievements
- identification of training/development over the last year
- identification of future key areas linked to job role
- future training and development needs
- look at current job description suggest any amendments
- any career goals

### Step 3: Completing the review/planning meeting

**Review of objectives and performance** – Note key accomplishments and factors that have hindered or helped achievements

**Employee development** – Discuss the developmental progress since the last review and the training development opportunities that have occurred and future needs

**Objective setting** – as part of the formal review the reviewer and the reviewee will agree new/continuing objectives for the next review period. These are completed on the Appraisal planning and review statement (copy attached)

**Additional notes/ comments** - should include any other actions arising, including, where appropriate actions by the manager to support Appraisal

**CPD/training and development needs** – should be jointly identified and noted on the separate Training and Development Needs/CPD form (copy attached)

Should there be a disagreement between the **reviewee** and the **reviewer** about the performance outcomes, the **reviewee** may appeal to the Headteacher/Principal (when the Headteacher/Principal is not the reviewer). The Headteacher/Principal will confirm the reviewers assessment and/or objectives or agree to change them. If the Headteacher/Principal is the reviewer then the appeal will be referred to the governing body. HR will provide further support for Headteacher/Principal on appeals for those who request it.

### Step 4: After the review/planning meeting - completion of the documentation

The reviewer and the reviewee must agree new objectives and assessment based on the appraisal review cycle that has just ended including factors that have helped and hindered achievements, training requirements, comments on job description and career goals. The reviewer will have five days to complete the form and submit it to the reviewee for them to sign/comment. The reviewee has five days in which to do this and return to the reviewer.

The reviewer and the reviewee should each retain a signed copy of the completed performance planning and review statement form and the CPD form. All documentation will be confidential and kept for a minimum of 6 years in the school.

## 6. Supplementary Information for Reviewers

### 6.1 Setting Performance Objectives

Objectives should be brief and easily understood. They should be agreed as part of the objective setting review meeting between the reviewer and the reviewee. If priorities or circumstances change during a performance period then, with the agreement of both parties, the objectives should be changed. Where a joint determination cannot be made on objectives and outcomes the reviewer will make the determination. The employee has the right to appeal, if they choose to do so they will use the schools Appeals Procedure by giving the required notice to the Chair of the Appeals Committee, setting out their grounds of appeal. The decision of the Appeals Committee is final and there is no further right of appeal within the school/academy procedure.

6.2 All objectives must be measurable and should and be linked to improving the wellbeing and/or progress of pupils at the school/academy.

6.3 An objective should:-

- link to the school improvement /development plan, the relevant professional occupational standards and/or any other relevant targets
- link to the relevant school SEF
- be 'SMART'

**S**pecific - objectives should be directly related to specific plans, projects, etc. Use very active words such as deliver, implement, produce etc.

**M**easurable - measurements should be a balance between quantitative (objective) and qualitative (subjective). As a check, ask yourself - what outcome will I see, hear and feel?

**A**chievable - objectives should be achievable but at the same time challenging. The individual should also be able to control the objective, i.e. have necessary resources and authority.

**R**elated to the job - each objective must be relevant to the individual's role - and a sub-set of the manager's objectives. Challenging and broadening experiences can also be highly relevant to service and / or personal development.

**T**ime Bound - the objective must include a "by when" statement.

#### 6.4 **Feedback**

Feedback is a two way process and the reviewee should be feeding back on areas that have gone well in addition to challenges that have been faced. It is useful for both the reviewer and the reviewee to consider this before the meeting and make a note on the pre-review meeting form so that this can be discussed at the meeting. Constructive feedback forms an essential element of Appraisal. It should be ongoing and not just confined to formal review.

Feedback can be defined as:

- motivational feedback - identifies what is working well and has a positive impact in order to encourage continued high performance and positive behaviour.
- developmental feedback - highlights performance and behaviours, which have a negative impact, and encourages change.

The reviewer should ensure that feedback is specific, objective and that examples are given and that feedback is understood and clarification provided if necessary. This enables the reviewer and the reviewee to communicate in a positive and open way and develops trust. Combined with other management skills, it supports the resolution of performance problems in a timely and effective manner.

#### 6.5 **Learning & Development / CPD**

Enabling staff to develop their full potential is a core responsibility for reviewers and embraces a wide range of approaches from coaching/mentoring to discrete training events/interventions. Training will often be conducted on site and a variety of 'expert knowledge' can be sourced in school as well as participation in courses run externally.

#### 6.6 **Addressing Poor Performance**

When a reviewee's performance is unsatisfactory, it is the responsibility of the reviewer to meet with the reviewee and discuss the situation, outlining areas for improvement and setting objectives for the employee to achieve. The purpose is to create a course of action that will assist the employee in improving their performance.

A written document should be produced that outlines the performance problem(s), identifies next steps, states a reasonable timeframe for demonstrating improvement, and describes the consequences for successful or unsuccessful completion of the plan.

#### 6.7 **Confidentiality**

The whole Appraisal process and the statements/evidence generated under it should be treated with strict confidentiality between the reviewer and the reviewee. Information relating to CPD will be shared with the CPD Leader and in the event of an appeal information will be shared appropriately (HR can advise further)

Appraisal planning and review statements should be retained for a minimum period of 6 years by the school.

#### 6.8 **General Diversity Guidance**

Reviewers must ensure that in the conduct of the performance review process e.g. objective setting, performance review and development planning, the following are considered:

- Fairness: Need to be aware of the potential for unconscious discrimination and to avoid assumptions about individuals based on stereotypes
- Consistency: All staff will receive the same entitlements. This will be continuously monitored through regular and routine quality assurance
- Equal Opportunity: All staff should be encouraged and supported to achieve their potential through agreeing objectives, undertaking development and having their performance assessed
- Compliance with all the requirements of discrimination legislation.
- A clear timetable for the Appraisal progress

## Appraisal review - checklist for the reviewer and the reviewee

### Before the meeting

#### Reviewer:

- schedule the review meeting, allowing appropriate time
- book meeting (private, enabling confidentiality and free discussion)
- gather evidence: notes of previous meetings/supervisions, Job Description, previously agreed objectives, previous feedback and any other information.
- give copy of pre-review form to reviewee to use in own self-assessment and ensure the reviewee is clear about its use and the key areas to include on it
- ask reviewee to consider areas for new objectives
- ensure that you consider the reviewee's achievements in light of any known disabilities and any reasonable adjustments you have made to support the reviewee in their work.
- undertake initial assessment using pre- review meeting form in order to review performance against objectives, behaviours, strengths, weaknesses and anything that may have impacted on the reviewee's performance
- consider potential objectives related to school improvement plans and key policies/strategies
- ensure that you have considered disability, gender and race implications in identifying potential objectives
- consider development needs and how they may best be met

#### Reviewee:

- prepare evidence for review meeting: notes from previous meetings/supervision, evidence relating to achievement against objectives, areas of success/failure, areas for continued development, thoughts on career development
- complete the pre-review meeting form
- consider what new objectives may be appropriate in the context of school priorities

### Checklist – during the meeting

#### Reviewer:

- start with the reviewee's self-assessment/audit
- identify and agree areas of clear agreement. Focusing initially on positive outcomes



- discuss other areas and identify clearly the basis on which you have made your assessment
- where possible, agree rating scores. If differences remain the reviewee can provide additional information for consideration by the reviewer
- identify new objectives for the reviewee and agree relevant success measures. A maximum of 3 objectives is recommended
- agree priorities for development and who will take action
- discuss whether the employee has a disability as defined under the Equality Act, 2010 agree and record any reasonable adjustments
- schedule any future review sessions i.e. observation sessions for TA's or midyear reviews

**Both:**

- share feedback

**Checklist - after the meeting****Reviewer:**

- complete the planning and review form and the training and development needs form and pass to reviewee for additional comments if needed within 5 days of the meeting
- reviewee has 5 days to make amendments to the planning and review form and return it to reviewer
- the agreed planning and review form is sent to Headteacher/Principal within 10 days of the planning meeting taking place
- ensure the forms are signed by the reviewee and the reviewer
- provide copies of the forms to the reviewee
- ensure that copies are kept in a confidential place

## Appendix 1



# Walsall Appraisal Record

## Support Staff

APPRAISEE	
CURRENT ROLE	
APPRAISER	
APPASAL YEAR	
MEETING DATE	



**SECTION ONE - PRE-REVIEW MEETING FORM**

**TO BE COMPLETED BY APPRAISEE PRIOR TO THE MEETING – REVIEWED AT THE MEETING WITH APPRAISER**

Outline of current job responsibilities:

Note of any changes needed, e.g. has the role changed since the last review?

Career Aspirations:

Additional Notes:

**REVIEW OF PREVIOUS OBJECTIVES**

Review the objectives set for the previous period in terms of

- the level of achievement/progress
- the evaluation of any related development activity

PREVIOUS OBJECTIVE 1

SMART Objective:

Summary of review discussion:

PREVIOUS OBJECTIVE 2

SMART Objective:

Summary of review discussion:

PREVIOUS OBJECTIVE 3

SMART Objective:

Summary of review discussion:



Appraisee comments:

**We have reviewed the previous cycle’s objectives and agree that any outstanding objectives are transferred to the new appraisal record, where appropriate.**

**Signed:** \_\_\_\_\_ **(Appraisee)**

**Date** \_\_\_\_\_

**Signed:** \_\_\_\_\_ **(Appraiser)**

**Date** \_\_\_\_\_

**SECTION TWO - APPRAISAL PLANNING AND REVIEW STATEMENT**

**TO BE COMPLETED AT THE MEETING BY APPRAISEE AND APPRAISER**

**NEW OBJECTIVES FOR THE NEXT PERIOD**

Set objectives for the next period in terms of:

- what success will look like
- what resources or support is required
- how you will track performance

NEW OBJECTIVE 1

SMART Objective:

Evidence of success:

Resources/support needed:

How performance will be tracked:

NEW OBJECTIVE 2

SMART Objective:

Evidence of success:

Resources/support needed:

How performance will be tracked:

NEW OBJECTIVE 3

SMART Objective:

Evidence of success:

Resources/support needed:

How performance will be tracked:

Please sign below to confirm that the Appraisal process has been completed.

**Signed:** \_\_\_\_\_ **(Appraiser)**    **Date** \_\_\_\_\_

**Signed:** \_\_\_\_\_ **(Appraisee)**    **Date:** \_\_\_\_\_

**SECTION THREE - LEARNING AND DEVELOPMENT NEEDS**

**TO BE COMPLETED AT THE MEETING BY APPRAISEE AND APPRAISER**

APPRAISEE:

CURRENT ROLE:

APPRAISER:

APPRAISAL YEAR:

MEETING DATE:

Review any training undertaken in the previous cycle and assess what impact this has had on performance:

Training undertaken	Significant impact on performance	Some impact on performance	No real impact on performance

Record here any learning and development needs identified during the review and planning process:

Type of learning and development	Target date	Learning method				
		Accredited provision	Other course	Internal coaching	On-line learning	Sharing practice

Please copy **this page only** and send it to the Headteacher/Principal/CPD coordinator within 3 working days.

**Retain the original copy** of this Training and Development Record securely within your school

**SIX MONTHLY REVIEW**

MEETING DATE:

Use these pages to record progress towards the objectives for the period and any issues arising, including any additional resources or support which may be required.

**OBJECTIVE 1**

Progress towards objective:

Issues:

**OBJECTIVE 2**

Progress towards objective:



Issues:

**OBJECTIVE 3**

Progress towards objective:

Issues:

Training and Development progress and impact

**Signed:** \_\_\_\_\_ **(Appraiser)**    **Date** \_\_\_\_\_

**Signed:** \_\_\_\_\_ **(Appraisee)**    **Date:** \_\_\_\_\_