



**Tudor Grange Academies Trust**

**Appraisal Policy and Procedure (Associate Staff)**

<b>Document title</b>	Appraisal Policy and Procedure (Associate Staff)
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25.02.2021	4.0	<ul style="list-style-type: none"> <li>Amended to reflect new structure and covid-19 amendments. Mid-year development review proforma added to Annex D</li> <li>Update to Paragraphs 3.1, 7.1 and 10.3</li> </ul>
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## **1 Introduction**

- 1.1 Tudor Grange Academy Trust (“TGAT”) is committed to providing the very best education to pupils, through high quality teaching and learning and support services. It recognises the immense value that associate staff provide across the Trust to all aspects of school life.
- 1.2 Appraisal and Development means constantly updating and reviewing knowledge, skills and standards throughout working life. This requires self-direction, self-management and responsiveness to all goals set and development opportunities offered. The Trust recognises the benefits individuals gain from reflecting on their work, achieving goals and taking part in training and development. All staff have access to Betterment pathways and the Welbee platform and the Trust is committed to the development of a comprehensive CPD programme.
- 1.3 The Finance and Personnel Committee (F&PC) has delegated responsibility on behalf of the Trust Board to act as the Pay Review Committee (PRC). Any Appeal against the outcome of the PRC will be heard by the Pay Appeals Committee (PAC) consisting of Trust Board members.

## **2 Purpose**

- 2.1 The purposes of the Appraisal process are:
  - to review performance and provide feedback by the appraiser;
  - to recognise strengths and identify areas for improvement or training needs;
  - to review career potential and discuss development plans;
  - to review job descriptions in line with the school’s aims and to ensure they are reflective of the role;
  - to obtain employee’s feedback about the organisation and individual wellbeing;
  - to improve motivation.
- 2.2 The purpose of this Policy is to ensure that:
  - associate staff appraisal is carried out fairly, consistently and effectively through ongoing professional dialogue between managers and their staff;
  - all staff are given a full opportunity to contribute to the achievement of TGAT and individual school goals/objectives;
  - staff have an opportunity to develop their careers and training within their base schools or across TGAT, so that they are motivated and happy at work.

## **3 Scope**

- 3.1 This Policy applies to all associate staff employed by TGAT apart from:
  - agency staff;
  - members of staff whose contract duration is less than one term;
  - members of staff who are subject to the capability procedure;
  - staff members still in their probation period.
  - Executive Staff

In this Policy, ‘Appraiser’ is the member of staff carrying out the appraisal and ‘Appraisee’ is the member of staff who is being appraised under this Policy.

## **4 Equality and diversity**

- 4.1 The full range of Appraisal and Development opportunities includes all associate staff irrespective of age, disability, gender reassignment, marital or civil partner status, pregnancy or maternity, race (including, colour, nationality, ethnic or national origin), religion or belief, sex or sexual orientation or whether the employee is full time or part time, or employed on a temporary or permanent basis.
- 4.2 The school's policy is to ensure that no employee receives less favourable treatment on the grounds described above and is not put at a disadvantage by the setting of qualifying conditions or requirements which have the effect of discriminating on the grounds described above.

## **5 Appointing appraisers**

- 5.1 The Principal of each school will decide who will appraise associate staff in their school. However, this will normally be a member of staff who has clear line management responsibility for the appraisee, understands the requirements of their role and is appropriately trained on the requirements of this Policy.
- 5.2 Associate staff who are unhappy with their choice of appraiser should explain the concerns to the relevant Principal, who may then appoint an alternative appraiser if this is reasonable and/or justified in the circumstances.

## **6 The appraisal period**

- 6.1 The appraisal period runs for a period of 12 months from September to 31 August in line with the academic year.
- 6.2 Associate staff on a contract of less than one year but more than one term will have their performance managed in line with the principles of this policy. However, the length of the appraisal period and any goals set will be determined by and proportional to the duration of their contract.
- 6.3 Associate staff who successfully complete their probation period will be covered by this policy and feedback from the probation period will be used at midyear or year-end reviews as appropriate.

## **7 The appraisal cycle**

- 7.1 The appraisal cycle begins and ends with a meeting held between the appraisee and appraiser. At this meeting performance over the previous cycle is reviewed and opportunities for future improvement or development explored. All associate staff appraisal meetings should be scheduled to ensure enough time for a meaningful, two-way conversation to occur in a suitable venue. When an appraisal meeting cannot be face to face due to Health and safety reasons the meeting can be conducted via Teams.
- 7.2 Appraisees are responsible for bringing to the meeting all the necessary documentation and for preparing notes in line with the checklist in Annex A. It is expected that they engage positively with the process and prepare adequately.
- 7.3 Appraisers are responsible for ensuring they are fully prepared and have observed the checklist in Annex B. They are responsible for ensuring meetings are not rushed and that they are managed professionally and with due care.

- 7.4 Feedback will happen as a matter of course throughout the appraisal period. In response to feedback throughout the year any further action or changes that need to be made will be decided and agreed by the appraiser and appraisee. The mid-year review is the formal checkpoint where any actions required are recorded.
- 7.5 All meetings will be held face to face where possible. Should circumstances exist that make this difficult then both parties can agree for the meeting to be held via TEAMS.

## **8 Associate staff standards**

- 8.1 Each member of associate staff is accountable for achieving the highest possible standards in work and conduct.

Associate staff must:

- set and maintain high standards of service in all that they do;
- support and enable teaching and learning as the core purpose of the Trust;
- demonstrate detailed awareness and understanding of the requirement of their role;
- work efficiently and effectively towards goals;
- demonstrate a “can do” attitude and seize opportunities to update and review knowledge, skills and standards throughout their working life.

- 8.2 The core standards are:

- attendance, punctuality, reliability;
- attitude, adherence to policies, procedures and instructions.

- 8.3 The core behaviours which support these standards are:

- self-awareness;
- personal effectiveness;
- communication;
- pupil care;
- teamwork and Leadership development

- 8.4 In addition to the core standards all associate staff are expected to operate in line with their job descriptions towards the aims of the school. Staff are expected to continually strive to be as effective as possible in their role and to continue to develop professionally. Meeting the requirements of the core standards and the requirements of their individual job descriptions will form their ongoing objectives with regard to appraisal.

## **9 Working below the acceptable standard**

- 9.1 Where, during the appraisal cycle, the evidence shows that there are concerns about any aspects of the staff member’s performance (based on job description and/or expectations of their pay grade), the appraiser, or another appropriate manager, will meet with the member of staff to discuss the nature and the level of concerns.

- 9.2 This will be a supportive meeting to address issues early on, to give the employee an opportunity to improve and to avoid the matter escalating to capability. During this meeting, the appraiser will:

- give clear feedback to the member of staff about the nature and seriousness of these concerns with specific reference to job description and/or expectations for their grade;
- give the member of staff the opportunity to comment on and discuss these concerns;

- find out if there are any issues (both inside and outside of work) that are affecting their performance, so that the appraiser can provide support/assist;
- offer informal support for up to 6 - 8 working weeks, (e.g. mentoring, structured observations for teaching assistants, or additional training etc);
- clarify expected performance within the informal support period and how the period will be assessed as being satisfactory or not;
- explain the implications and process if little or insufficient improvement is made by the end of the informal support period i.e. potential transition to a period of informal support under TGAT capability procedure. This is essential to avoid any surprises.

9.3 Following the concerns meeting the appraiser shall confirm in writing within a reasonable period, the content of the discussion, including a summary of the concerns discussed, a summary of the agreed informal support plan (including objectives set, additional support agreed, start and end date of informal monitoring period and date scheduled to review progress made during informal monitoring period). Documentation to support this process is available from the HR Director.

9.4 At the end of the 6-8 week informal support period under appraisal, the appraiser will meet with the appraisee to review progress. The appraiser may:

- (a) be satisfied that the member of staff has made or is making sufficient improvements in line with the agreed support plan. If this is the case, the appraisal process will continue as normal with any remaining issues continuing to be addressed through that process; or
- (b) believe that whilst performance has improved, further time is required to monitor the employee's performance under appraisal, in which case a further final period of informal support under appraisal will be agreed. This should not be more than a further 4 weeks and regular reviews should take place to ensure progress is being made; or
- (c) be satisfied that the member of staff has not made or is not making sufficient improvements in performance despite the agreed support plan. If so, the member of staff will be notified in writing that the appraisal process will be suspended and that the matter will now be dealt with under the Capability Procedure. A copy of the Capability Procedure will be given to the appraisee. The outcome will be confirmed in writing along with an invite to a meeting to arrange a further period of informal support under the capability Procedure.

9.5 If a member of staff chooses not to engage with the informal support being offered to them in good faith under appraisal, this will be less beneficial for them. The appraisee will make a note in their appraisal paperwork and the Principal informed. Depending on the circumstances of the case, this may be treated as a potential disciplinary matter.

## **10 Appraisal and pay progression**

10.1 Following their appraisal and where the member of staff is eligible for an increment, the Principal will recommend a pay increment for those staff who have 'Met' at least 80% of the criteria in the associate staff Performance Review Statement (Annexe D).

10.2 For those looking to contribute beyond their job description the opportunity to be awarded a Special Responsibility Allowance in relation to a meaningful project or responsibility in the school can be discussed at appraisal. These allowances are time bound and specific and are expected to be performed in addition to the job role. They provide an opportunity to develop

a skill or gain experience as well as contribute to the school's aims. They are limited in number and the remuneration commensurate with the size and complexity of the responsibility. They are subject to school financial constraints and all staff are encouraged to discuss potential opportunities or ideas with their appraiser. The Principal is responsible for the allocation of such allowances.

- 10.3 Whilst there is no right of appeal of the Principal's recommendation, if the employee does not agree with the recommendation to be made to the PRC of trustees, then they may request a meeting with the Principal to gain clarity as to why the recommendation is so. If following this meeting the employee is still not satisfied, they may provide a written statement to the Clerk of the PRC that will be considered alongside the pay recommendation and the employee will be invited to attend a formal meeting with the Review Committee. All Pay recommendations are reviewed and scrutinised by the Executive Board prior to recommendation to the PRC.
- 10.4 The statement provided by the employee must indicate the reason(s) why they disagree with the recommendation and must fall within one or more of the following. That the recommendation:
- incorrectly applied any provision of the appropriate Pay or Appraisal Policy;
  - failed to take proper account of relevant evidence;
  - took account of irrelevant or inaccurate evidence;
  - was biased; or
  - otherwise unlawfully discriminated against the employee.
- 10.5 Following the outcome of the PRC associate staff have the right to appeal the outcome to the Pay Appeal Committee (PAC) following the process at Annexe C.

## **11 Storage of appraisal paperwork**

- 11.1 Each employee will be given a copy of their appraisal statement and will be invited to indicate that s/he is content with the statement. There will be the opportunity for the appraisee to express disagreement with the statement within ten working days of receiving the statement.
- 11.2 Each individual is responsible for ensuring that his/her appraisal and development records are up to date and maintained in a personally held file.
- 11.3 A copy of the appraisal statement will be held on the individual's personnel file. Access is restricted to those entitled to have access to the file.
- 11.4 All those with access to the appraisal statement will treat it as confidential.

## **12 Policy review**

- 12.1 This Policy does not form part of an employee's contract of employment and may be amended at any time.
- 12.2 TGAT will monitor the application and outcomes of this Policy to ensure that it is working effectively and review regularly. An annual summary of the appraisal and development process will be reported to the Trust Board.

## **General Principles Underpinning this Policy**

### **Confidentiality**

The appraisal process will be treated with confidentiality. However, the desire for confidentiality does not override the need for the Trust Board to quality-assure the operation and effectiveness of the appraisal system.

Quality assurance will be undertaken as part of monitoring and evaluation.

### **Monitoring and Evaluation**

The Pay Review Committee (PRC) will monitor the operation and outcomes of performance management arrangements.

The HR Director will provide the PRC with a report on the operation of the school's appraisal policy annually. The report will not contain any information which would enable any individual to be identified. The report will include:

- the operation of the appraisal policy;
- the effectiveness of the school's appraisal procedures;

### **Long Term Absence**

The appraisal process may need to be adjusted if long term sickness absence or maternity leave affects the achievement or progress towards the appraisal objectives. In such cases a review will take place as soon as practically possible.

### **Maternity Leave**

If the reviewee has taken maternity leave for part of the year, then the appraisal process will be adjusted to review performance during any worked period within the appraisal year. If the maternity leave period spans the entire appraisal period, then performance in the previous appraisal year may be used to make any determination on pay or the period will be extended to provide a sample period after which any award would be back dated to September.

### **Retention**

The Principal will ensure that all written appraisal records are retained in a secure place in line with data protection regulations. The appraisee should retain their own copy.



## **ANNEX A      Appraisee's Checklist**

Appraisee's checklist for the appraisal and development meeting

The documents you may wish to have with you are:

- 1 Your current job description (including goals and training plan if you have previously had an interview)
- 2 The notes from previous Appraisal and Development meeting(s)
- 3 Training record, Competencies Documentation or NVQ information if relevant
- 4 Notes that may support discussions regarding the following.
  - How well have I done in relation to the goals that were set at the last meeting?
  - What has been happening, of note, in my area of work? Have there been any developments/changes/ things I do differently in my work?
  - Anything I am particularly pleased with or which I am not satisfied with?
  - What do I do well in my present job?
  - What could I do better?
  - What opportunities have I had since the last meeting?
  - Does my job description need to be reviewed?

It may be that line managers issue further guidance or more specific questions relevant to the role to support appraisees in preparing for their review. You should forward plan by answering the following questions

- Do I see my job changing or developing?
- What new knowledge and/or skills do I need?
- What support might I need from colleagues?
- What constraints or problems do I foresee?
- What resources and/or training do I need?
- What goals do I want to achieve?

## **ANNEX B      Appraiser's Checklist**

The appraiser should:

- 1 Check the person being appraised has an up to date job description and a copy of the previous review which will provide the basis for the Appraisal and Development meeting.
- 2 Ensure that acceptable and good performance has been identified as well as those areas that need improvement or development. Preparation is important!
- 3 Check that there is a record of any competencies or training documentation.
- 4 Check that the person understands the review process and that any queries are answered before the Appraisal and Development meeting.
- 5 Ensure they are aware of the expectations below

Associate staff must:

- set and maintain high standards of service in all that they do;
- support and enable teaching and learning as the core purpose of the Trust;
- demonstrate detailed awareness and understanding of the requirement of their role;
- work efficiently and effectively towards goals;
- demonstrate a “can do” attitude and seize opportunities to update and review knowledge, skills and standards throughout their working life.

The core standards are:

- attendance, punctuality, reliability;
- attitude, adherence to policies, procedures and instructions.

The core behaviours which support these standards are:

- self-awareness;
- personal effectiveness;
- communication;
- pupil care;
- teamwork and Leadership development

**ANNEX C Procedure for an Appeal against a Salary Decision of the Pay Review Committee to the Pay Appeal Committee (PAC)**

**1 The Appeal of the Employee**

The employee is entitled to be accompanied by a representative of their trade union or a workplace colleague.

The employee or representative:

- (a) Introduces the employee's written reasons for the appeal, and the representative of the PRC and then members of the PAC may ask questions of the employee.
- (b) May call witnesses, each of whom will have provided a written statement of the information they wish to give, and each witness may be asked questions by the representative of the PRC and then by the PAC.

**2 The Response of the PRC**

The representative of the PRC:

- (a) Explains the process and evidence used to come to the decision being appealed and the employee or representative, and then members of the PAC may ask questions of the representative of the PRC.
- (b) May call witnesses, who will have provided a written statement of the information they wish to give, and each witness may be asked questions by the employee or their representative and then by the PAC.

**3 Summing Up and Withdrawal**

- (a) The representative of the PRC has the opportunity to sum up if s/he so wishes.
- (b) The employee, or representative, has the opportunity to sum up his/her case if s/he so wishes.
- (c) All persons other than the PAC and its adviser (see note 4 below) are then required to withdraw.

**4 PAC Decision**

- (a) The PAC and adviser are to deliberate in private, only recalling the parties to clear points of uncertainty on evidence already given. Any recall must involve both parties.
- (b) The Chair of the PAC will announce the decision to the employee, which will be confirmed in writing.

Notes:

- 1 For the purposes of the appeal, the PAC will have the following documents:
  - the written statement of reasons for the appeal from the employee. (The grounds for the appeal must comply with paragraph 10.4 of this Policy);
  - any additional documents to be used at the appeal hearing which must be provided to the other party at least 48 hours before the commencement of the hearing.
- 2 For the purposes of the appeal, the PRC representative may call the Principal (or in accordance with Note 3 below, a member of the Executive Board as a witness for the PRC. In that event, they may be questioned as a witness.
- 3 Where the Principal has asked for the appeal, the representative of the PRC may call the Executive Principal and/or one of the Executive Board as a witness.
- 4 The PAC appoint an adviser who may not be an employee of the Trust.

**ANNEX D Associate Staff Final Performance Review Statement**

Staff Name .....

Date .....

Role .....

**Final Review summary of year (Completed by appraiser)**

**Commentary on core standards** such as attendance, punctuality, reliability; attitude, adherence to policies, procedures and instructions.

**Commentary on core behaviours** such as self-awareness; personal effectiveness; communication; pupil care, teamwork and development of Leadership qualities

**Are there any developmental aspirations or training needs?**

**Reviewer comments:**

**Reviewee comments:**

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Completed by reviewer please put a X in the correct box	Yes	No	N/A top of scale
Has the employees met 80% of their performance expectations? (please tick)			
Has the wellness Action Plan been reviewed?			
Is the appraisee aware of the Betterment Pathways?			
Is the employee recommended for progression?			

Signed: \_\_\_\_\_ (Reviewee)

Print name: \_\_\_\_\_

Date: \_\_\_\_\_

Signed: \_\_\_\_\_ (Reviewer)

Print name: \_\_\_\_\_

Date: \_\_\_\_\_

**ANNEX E Associate Staff Mid-Year Development Review**

Staff Name .....

Date .....

Role .....

	<b>Current Progress</b>	<b>Next steps/CPD</b>	<b>Current assessment (circle)</b>
<b>Teamwork &amp; Initiative</b>			Meeting Developing Not meeting
<b>Quality &amp; Productivity</b>			Meeting Developing Not meeting
<b>Administration, Communication &amp; interpersonal skills</b>			Meeting Developing Not meeting
<b>Core standards; Reliability, attitude, &amp; conduct etc</b>			Meeting Developing Not meeting



<b>Punctuality and attendance</b>			Meeting Developing Not meeting
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**Are there any developmental or training needs?**

**Reviewer comments:**

**Reviewee comments:**

Signed: \_\_\_\_\_ (Reviewee)

Print name: \_\_\_\_\_

Date: \_\_\_\_\_

Signed: \_\_\_\_\_ (Reviewer)

Print name: \_\_\_\_\_

Date: \_\_\_\_\_