



'Christ at the centre, children at the heart'

Our Lady of Walsingham Catholic Multi-Academy Trust will deliver outstanding educational, spiritual and moral outcomes for all children regardless of their faith or backgrounds within an ethos based on full inclusion, high expectations, innovation, outstanding teaching and learning, and a relentless focus on the needs and potential of every child. Our vision is that every Academy within the Trust has a reputation for excellence in their local communities and beyond.

Our Lady of Walsingham Catholic MAT

Company No: 08444133

Registered Office: Fordham Road, Newmarket, Suffolk, CB8 7AA

EMPLOYEE APPRAISAL POLICY AND PROCEDURE FOR SUPPORT STAFF

This policy is based upon the model CES policy, which has been consulted upon with Unions at a National and Diocesan level. We recognise that full consultation with Unions has taken place but that not all Unions can agree with all aspects of the policy - for example, it may not comply with all points in the relevant NEU and NASUWT checklists. In implementing the policy we shall seek to keep its operation under review and to discuss at relevant Joint Consultative Committee meetings.

OLW CMAT (THE MAT, THE ACADEMY TRUST COMPANY): EMPLOYEE APPRAISAL POLICY AND PROCEDURE FOR SUPPORT STAFF

DEFINITIONS

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

- i. 'Academy' means the academy named at the beginning of this Appraisal Policy and Procedure and includes all sites upon which the academy undertaking is, from time to time, being carried out.
- ii. 'Academy Trust Company' means the company responsible for the management of the Academy and, for all purposes, means the employer of staff at the Academy.
- iii. 'Board' means the board of Directors of the Academy Trust Company.
- iv. 'Chair' means the Chair of the Board or the Chair of the Local Governing Body of the Academy appointed from time to time, as appropriate.
- v. 'Clerk' means the Clerk to the Board or the Clerk to the Local Governing Body of the Academy appointed from time to time, as appropriate.
- vi. '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 an accredited trade union representative 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.
- vii. 'Diocesan Schools Commission' means the education service provided by the diocese, which may also be known, or referred to, as the Diocesan Education Service.
- viii. 'Directors' means directors appointed to the Board of the Academy Trust Company.

- ix. 'Governing Board' means the body carrying out the employment functions of the Academy Trust Company and such term may include the Board and/or a Local Governing Body of the Academy.
- x. 'Governors' means the governors appointed and elected to the Local Governing Body of the Academy, from time to time.
- xi. 'Local Governing Body' means the group of governors appointed and elected to carry out specified functions in relation to the Academy as delegated by the Academy Trust Company.
- xii. 'Principal/Headteacher' means the teacher employed within each academy or across several academies in the role of CEO, Principal, Executive Headteacher, Headteacher or Head of Academy, as appropriate.
- xiii. 'Vice-Chair' means the Vice-Chair of the Board or the Vice-Chair of the Local Governing Body of the Academy elected from time to time, as appropriate.

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 Academy employed in your capacity as support staff worker and are not 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 Academy's Capability Policy and Procedure.

2. SCOPE OF PROCEDURE

- 2.1 The purpose of this procedure is to establish a framework for a clear and consistent assessment of the overall performance of employees and for supporting their development within the context of the Academy's plan for improving

educational provision and performance, and the standards expected of the staff of the Academy.

- 2.2 Where concerns raised about an employee's performance cannot be resolved through this Appraisal Policy and Procedure, there will be consideration of whether to invoke the Academy's Capability Policy and Procedure.
- 2.3 This Appraisal Policy and Procedure does not form part of any other procedure but relevant information on appraisal, including Appraisal Reports, may be taken into account in relation to other applicable policies and procedures.
- 2.4 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 (GDPR).
- 2.5 The Academy Trust Company delegates its authority in the manner set out in this policy.

3. APPRAISAL IN A CATHOLIC CONTEXT

- 3.1 **The Academy is committed to ensuring respect, objectivity, belief in the dignity of the individual, consistency of treatment and fairness in the operation of performance management as a Catholic Academy. This commitment extends to promoting equality of opportunity and eliminating unlawful discrimination throughout the Academy community. 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.**

- 3.2 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 Academy's ethos.
- 3.3 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 Academy are acknowledged.
- 3.4 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.

4. THE APPRAISAL PERIOD

- 4.1 The Appraisal Period will run for twelve months from January to December.
- 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 Academy part-way through the Academy's usual Appraisal Period, the Principal/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 Academy'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 Academy part-way through an Appraisal Period, the Principal/Headteacher shall determine whether the Appraisal Period should be re-set and whether the Appraiser should be changed.

5. APPOINTING APPRAISERS

- 5.1 An Appraiser will be appointed by the Principal/Headteacher to appraise an employee of the Academy. This will usually be the line-manager.
- 5.2 The Appraiser will set employee objectives in accordance with Paragraph 6 below.
- 5.3 The Appraiser, through the Principal/Headteacher and/or Governing Board, may seek advice from other external advisers including, but not limited to, the Diocesan Schools Commission.
- 5.4 Where it becomes apparent that an Appraiser appointed by the Principal/Headteacher will be absent for the majority of the Appraisal Period, the Principal/Headteacher may perform the duties of the Appraiser or delegate those duties to another member of staff for the duration of the absence.
- 5.5 Where an employee has a reasonable objection to the choice of Appraiser, their concerns may be carefully considered by a suitably senior person other than the Appraiser and, where it can be reasonably accommodated, an alternative appraiser may be offered.

6. SETTING OBJECTIVES

- 6.1 Appraisal objectives should reflect the Catholic identity and mission of the Academy and the values it proclaims¹ and Appraisers are expected to explore the alignment of such objectives with the Academy's priorities and plans, working at all times to ensure that the Catholic ethos is developed and maintained.
- 6.2 The Appraiser and the employee will seek to agree the objectives and how many there should be, usually three. Objectives may be revised if circumstances change. The Academy operates a system of moderation to ensure that all Appraisers are working to the same standards. Targets will be moderated across the Academy and the Academy Trust Company to ensure that they are consistent

¹ Such values should include the principles of Catholic social teaching in respect of justice for all, the needs of the whole

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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 context of appraisal can be found in the CES User Guide.

between employees with similar experience and levels of responsibility. Should the objectives not be agreed, a record of the employee's relevant comments shall be added to the appraisal documentation but the final decision on allocation of objectives rests with the Appraiser.

- 6.3 The objectives set for each employee will, if achieved, contribute to the Academy's plans for improving educational provision and performance and improving education of the pupils at the Academy. This will be ensured by quality assuring objectives against the MAT and Academy Improvement and Development Plans.
- 6.4 Objectives, where met, should contribute to improving the progress, development and well-being of pupils at the Academy as understood in relation to the Catholic nature of the Academy and so include the academic, spiritual, moral, social, emotional and cultural development of each pupil.
- 6.5 In accordance with Paragraph 5, the employee's objectives will be set by the Appraiser before, or as soon as reasonably practicable after, the start of each Appraisal Period and the employee will be informed of the objectives and standards against which their performance will be appraised in that Appraisal Period.
- 6.6 The objectives will be appropriate to the employee's role and level of experience. Employees should be allowed to append their comments alongside the objectives.
- 6.7 The Appraiser may take into account work/life balance and the effects of an individual's circumstances, including any disability requiring the implementation of reasonable adjustments, when agreeing objectives or when they are reviewed.
- 6.8 Following discussion between the Appraiser and the employee, set objectives may be revised by the Appraiser in accordance with the needs of the Academy and the employee. Any such revision(s) to set objectives should be agreed where possible, and will be recorded in writing.

7. REVIEWING PERFORMANCE

Development and Support

- 7.1 Appraisal is a supportive process which will be used to inform the employee's continuing professional development. The Academy wishes to encourage a culture in which all employees take responsibility for improving the Academy through appropriate professional development. Professional development will be linked to the Academy's improvement priorities and to the ongoing professional development needs and priorities of individual employees.
- 7.2 Account will be taken in a review meeting of where it has not been possible for employees to fully meet their objectives because the agreed support has not been provided.

Informal Action

- 7.3 An employee's line manager may identify concerns on an informal basis at any time about any performance falling short of the standards expected.
- 7.4 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, occupational health or arrangements for discussing practice with other support staff members.
- 7.5 Informal action could include establishing the expectations that the Academy and/or the Governing Board has of the employee and what support may be provided to help the employee to meet those expectations.
- 7.6 Informal action may be recorded in writing and may be referred to at a later stage as evidence that an informal approach was attempted and the success or failure of such an approach.

Alternative Action

- 7.7 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 and that informal action has been, or is unlikely to be, effective.
- 7.8 The line manager/Appraiser may offer the employee the option of taking a voluntary demotion as an alternative to proceeding with action under this Appraisal Policy and Procedure, specifically Paragraph 7.12.

Monitoring

- 7.9 The Academy believes that monitoring of work practice is important both as a way of assessing employee performance in order to identify any particular strengths and areas for development as well as gaining useful information which can inform Academy improvement more generally.
- 7.10 All monitoring will be carried out in a supportive fashion.

Feedback

- 7.11 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.
- 7.12 Where there are concerns about any aspects of the employee's performance these will be addressed at a meeting between the Appraiser and the employee. At such meeting the employee will be notified of the Appraiser's concerns about the employee's performance, the action required to bring the employee's performance to the standard expected and the timeframe for so doing. The employee's progress will continue to be monitored as part of the appraisal process and a reasonable time given for their performance to improve. This will depend on the circumstances but will usually be agreed as part of appropriate support outlined at

the meeting held in accordance with this Paragraph 7.12 in order that the aim of recovering and improving performance can be achieved.

- 7.13 When progress is reviewed at the end of the review period in accordance with Paragraph 7.12, if the Appraiser is satisfied that the employee has made, or is making, sufficient improvement, the appraisal process will continue as normal. Where the Appraiser finds that insufficient, or no, improvement has been made, then paragraph 8.6 will apply.

8. ANNUAL ASSESSMENT

- 8.1 Employees' performance will be formally assessed in respect of each Appraisal Period.
- 8.2 This assessment is the end point to the annual Appraisal Period but performance and development priorities will be reviewed and addressed on a regular basis 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 take place once a term, for example.
- 8.3 The employee will receive, as soon as practicable following the end of each Appraisal Period, a written Appraisal Report. The employee will have the opportunity to comment on the Appraisal Report in writing. This Appraisal Report does not form part of any formal capability or disciplinary procedures. However any relevant information from the appraisal process may be taken into account by those responsible for taking decisions about capability.
- 8.4 The Appraisal Report will include:
- (a) Details of the employee's objectives for the relevant Appraisal Period;
 - (b) An assessment of the employee's performance of their role and responsibilities against their objectives and any relevant standards;
 - (c) An assessment of the employee's training and development needs and identification of any action that should be taken to address them;
 - (d) A recommendation on pay where that is relevant. **NB** Final determination of pay will be made in accordance with the Academy's Pay Policy and Procedure.
 - (e) A space for the employee's own comments

(f) Details of the employee's objectives for the next Appraisal Period

8.5 A review meeting will take place to discuss the content of the Appraisal Report and any further action required, including setting a period for review of performance, and to inform objective setting for the next Appraisal Period.

Transition to capability

8.6 If the Appraiser is not satisfied with the employee's progress following the review period in accordance with Paragraph 7.12 or the Annual Assessment, the employee will be notified in writing that this Appraisal Policy and Procedure will no longer apply and that their performance will be managed under the Academy's Capability Policy and Procedure.

9. APPEALS

9.1 Employees have a right of appeal against any of the entries in the written Appraisal Report and a separate right of appeal against a decision to invoke the Academy's Capability Policy and Procedure made in accordance with Paragraph 8.6 above. If an appeal relates to a decision about pay, the employee is referred to the Academy's Pay Policy and Procedure.

9.2 An appeal in accordance with Paragraph 9.1 must be made in writing to the Clerk and lodged within 10 working days of receipt of the Appraisal Report or the letter confirming that the Academy's Capability Policy and Procedure will be invoked.

9.3 Your appeal letter must set out the grounds of your appeal in detail.

9.4 The Appeal Meeting will normally be held within 20 working days of your appeal letter being received by the Clerk.

9.5 The Appeal Manager will be the Principal/Headteacher, except where the Principal/Headteacher is the Appraiser.

- 9.6 The Appeal Manager will confirm the outcome of the Appeal Meeting in writing to you within 5 working days of the date of the Appeal Meeting. The decision of the Appeal Manager is final and there will be no further right of appeal. The outcomes of the Appeal Meeting are that:
- (a) the Appeal Manager may uphold the entries made in the Appraisal Report and/or the transition to capability proceedings in accordance with Paragraph 8.6; or
 - (b) the Appeal Manager may uphold the employee's appeal and overturn the decision of the Appraiser. Where such appeal relates in whole or in part to entries in the Appraisal Report, the disputed entries shall be referred back to the Appraiser for reconsideration.
- 9.7 Where an appeal is against entries in the Appraisal Report and a decision to invoke the Capability Policy & Procedure under Paragraph 8.6, the appeals will be heard together.
- 9.8 The Academy's Appraisal Appeal Policy and Procedure is set out in Appendix 1.

10. COMPANION

- 10.1 Where a meeting is held under Paragraphs 7.12 or 9 above, you may be accompanied by a Companion.
- 10.2 You must let the person appointed to hold such meeting under Paragraphs 7.12 or 9 above know who your Companion will be at least one working day before the meeting.
- 10.3 If you have any particular reasonable need, for example, because you have a disability, you can also be accompanied by a suitable helper.
- 10.4 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.

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

10.6 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.

10.7 Where you have identified your Companion and they have confirmed in writing to the relevant person appointed under Paragraphs 7.12 or 9 that they cannot attend the date or time set for the meeting, the relevant person will postpone the meeting for no more than five working days from the date set by the Academy to a date or time agreed with your Companion provided that it is reasonable in all the circumstances. 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.

11. TIMING OF MEETINGS

Meetings under this procedure will aim to:

- 11.1 be held at a mutually agreed time, usually during working hours;
- 11.2 not be held on days on which you would not ordinarily work;
- 11.3 be extended by agreement between the parties if the time limits cannot be met for any justifiable reason.

12. VENUE FOR MEETINGS

Any meeting held under Paragraph 7.12 or 9 may be held off the Academy site to minimise any distress to the employee.

13. ASSISTANCE

Where matters fall to be decided under Paragraphs 7.12 and 9, the Diocesan Schools Commission may send a representative to advise the Academy.

14. REVIEW OF THIS PROCEDURE

This procedure was produced in September 2013, amended in June 2016 and again in May 2018 by the Catholic Education Service (CES) for use in Catholic Voluntary Academies in England following consultation with the national trade unions. It may be adapted, as appropriate, for use in joint Church academies subject to the approval of the CES on referral by the relevant Catholic diocese. This procedure will be reviewed by the CES in readiness for the academic year 2019/2020.

Appendix 1 –Appraisal Appeal Procedure

A member of staff may make an appeal against any determination or proposed determination in relation to his/her appraisal.

1. The possible grounds for appeal are that the person or committee by whom the decision was made:
 - failed to have proper regard for the relevant statutory guidance;
 - failed to take proper account of relevant evidence;
 - took account of irrelevant or inaccurate evidence;
 - failed to apply the MAT's own appraisal policy;
 - was biased; or
 - otherwise unlawfully discriminated against the support staff member.

(ii) Any appeal against non-spinal column point progression will not be dealt with by this procedure. Such appeals will be dealt with by the Academy's Pay Policy Appeal Procedure.

Procedure at a Hearing of the Appraisal Appeal Committee of the Governing Board (for Support Staff)

1. The committee should elect a Chair who should then introduce those present and explain the purpose of the hearing.
2. The appellant or his/her representative should present evidence on the case, referring to any relevant documentation.
3. The Principal / Headteacher or designated member of the appropriate Appraisal Appeal Committee and his/her representative should be given the opportunity to ask questions.
4. The members of the committee and their adviser(s) should be given the opportunity to ask questions.
5. The Principal / Headteacher or designated member of the appropriate Appraisal Appeal Committee and his/her representative should present his/her case referring to any relevant documentation.
6. The appellant, or his/her representative, should be given the opportunity to ask questions.

7. The members of the Committee and their adviser(s) should be given the opportunity to ask questions.
8. The appellant, or his/her representative, should make a closing statement.
9. The Principal / Headteacher, or dis/her representative should make a closing statement.
10. The Chair of the Appraisal Appeal Committee should call an adjournment. All parties will be required to withdraw except members of the Committee and their adviser(s) who consider the evidence, discuss the case and the Committee will reach a decision.

Note

The Chair of the Committee may vary the order of procedure in exceptional circumstances and at any stage in the proceedings a request by either side for the Chair may be granted at the discretion of the Committee.

11. The Appraisal Appeals Committee will deliberate in private and will communicate their decision to all parties within 48 hours.
12. The decisions of the Governing Boards' Appraisal Appeals Committee are final and there is no recourse to the staff grievance procedures.

OLW CMAT

Appendix 1 -Support Staff pre appraisal self review form

Name _____ Date _____

Job Title _____

Self-Review

In order to gain most benefit from the appraisal system it is important that you spend some time in preparation for the meeting. ***Your line manager should have:***

- Given you this pre-appraisal form at least two weeks before the appraisal meeting date.
- Will have booked a private interview area for the meeting. The suggested time allocated is one hour but more time may be necessary.
- During the review you will complete a blank copy of the full appraisal form together with your line manager – take some time to look at the areas that will be covered to familiarise yourself with the process.

This is a prompt sheet to help you prepare for the professional review meeting. You should look back at any objectives set last year and your job description before you fill it in. You will then be able to have a discussion with your reviewer about your work over the last year and your work plan for the next year. Further guidance for the appraisal process can be found in the Academy policy 'Support Staff Appraisal Policy'.

Thank you for taking the time to fill in this form. Please bring the completed form to your professional review meeting.

What are your greatest achievements at work and what parts of your job have given you the most satisfaction?

What parts of your job have you found most challenging?

Are there any ways you can be helped to overcome some of these challenges?

**Have you been involved in any training?
How useful has the training been?**

How would you like to see your job enhanced/career developed?

What do you think should be your main areas of focus for next year:

What training might be useful for you?

**Any other points you would like to discuss?
(e.g. other contributions to Academy life)**

Appendix 2 – OLW CMAT Reviewer Pre Appraisal Form

Name _____ Date _____

Job Title _____

Self-Review

In order to gain most benefit from the appraisal system it is important that you spend some time in preparation for the meeting. Please ensure that

- you have issued the member of staff with their pre-appraisal form at least two weeks before the appraisal meeting date. It may be useful for them to have a blank copy of the full appraisal form also, for reference
- you have booked a private interview area for the meeting. The suggested time allocated is one hour but more time may be necessary.
- This form may be issued to other members of staff for observation or comments if required.

Further guidance for the appraisal process can be found in the Academy policy 'Support Staff Appraisal Policy'.

Thank you for taking the time to fill in this form. Please bring the completed form to the professional review meeting.

What do you think have been the greatest achievements by the member of staff?

Consider the technical competence (knowledge and ability to do the job) and behavioural competence of the member of staff (interpersonal skills/attitude).

Have there been any areas of concern/difficulty identified in the member of staff's ability to complete their objectives? N.B. Please refer to section 3 of the appraisal policy for support staff.

Have you identified any possible training needs/requirements?

What do you think should be the main areas of focus for next year:

3 objectives should be considered before the full appraisal meeting for discussion with the member of staff

**Any other points you would like to discuss?
(e.g. other contributions to Academy life)**

OLW CMAT
Appendix 3 -Professional Review for Support Staff Form

EMPLOYEE NAME JOB TITLE

Date appointed to current post

LINE MANAGER/REVIEWING OFFICER

APPRAISAL DATE

Further guidance for the appraisal process can be found in the Academy policy 'Support Staff Appraisal Policy'.

REVIEWING PERFORMANCE

STAGE ONE : Job Purpose – key areas of responsibility

How fully have objectives been met over the review period? Include any achievements or events that have been achieved.

REVIEWING PERFORMANCE

STAGE TWO : Performance assessment

How fully have competencies been met over the review period? Include knowledge and ability to do the job. Behavioural competence (personal/interpersonal qualities and attitude).

REVIEWING PERFORMANCE

Obstacles for performance

Is there anything that impedes on performance? (for example, systems, management style, lack of skills or knowledge). If identified, will development of skills/knowledge address this?

REVIEWING PERFORMANCE

Suggestions for improvement

Record any suggestions to help improve the team or the Academy here

TRAINING AND DEVELOPMENT

STAGE THREE: Completed training during review period and identified training

Have you been involved in any training?

How useful has the training been?

Training and Development needs

List any further training or experience that has been identified that will improve performance and job satisfaction. *Identify any estimated costs for training identified* (e.g. cover, rail travel, cost of external courses)

OBJECTIVES FOR THE NEXT YEAR

STAGE 4: OBJECTIVES

Two to three objectives should be set for the following year (personal, Academy based and role specific are suggested). Include a time frame for when the objectives should be completed. *What are the main areas for focus for the following year?* Refer to the SIDP document as appropriate

OBJECTIVE ONE

TO BE COMPLETED BY

OBJECTIVE TWO

TO BE COMPLETED BY

OBJECTIVE THREE

TO BE COMPLETED BY

GENERAL REVIEW COMMENTS

STAGE 5: Comments.

This space can be used to add any personal comments that the employee would like to make. It can also be used to record any career aspirations that the employee may identify.

PAY REVIEW / PROGRESSION DECISION: Y/N

Signed.....Employee

Signed.....Reviewer

Date

Reviewer – please initial and date to confirm that you have:

Confirmed the date of next appraisal (6/12 months)

Provided a copy of the training needs (pg2) to the CPD coordinator or similar
.....

Given the completed appraisal form to the relevant member of the MAT staff for the
employee file
(& a copy of the completed appraisal to the employee)