



Appraisal Policy and Procedure Support staff

Responsible for policy
Date of policy
Date approved by CC2
Date of review
Chair of Directors

HR Manager, approval by CC2
April 2019
April 2019
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Sandra Farneth



Definitions

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

- i **'The Romero Catholic Academy'** means the Company named at the beginning of this **Appraisal Policy** and Procedure and includes all sites upon which the Company is undertaking, from time to time, being carried out. The Romero Catholic Academy includes; **Corpus Christi, Good Shepherd, Sacred Heart, Blue Sky, SS Peter and Paul, St Gregory, St John Fisher, St Patrick, Cardinal Wiseman, Shared Services Term.**
- ii **'Romero Catholic Academy'** means the Company responsible for the management of the Academy and, for all purposes, means the employer of staff at the Company.
- iii **'Board'** means the board of Directors of the Romero Catholic Academy.
- iv **'Chair'** means the Chair of the Board or the Chair of the Local Academy Committee of the Academy appointed from time to time, as appropriate.
- v **'Clerk'** means the Clerk to the Board or the Clerk to the Local Academy Committee of the Academy appointed from time to time, as appropriate.
- vi **'Chair'** means the Chair of the Board of the Directors or the Local Academy Committee appointed from time to time.
- vii **'Catholic Senior Executive Leader'** means the person responsible for performance of all Academies and Staff within the Multi Academy Company and is accountable to the Board of Directors.
- viii **'Companion'** means a willing work colleague (not family member) not involved in the substance of the employee's performance issues under review by this Appraisal Policy and Procedure, or an accredited representative of a trade union 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.
- ix **'Diocesan Schools Commission'** means the education service provided by the diocese, which may also be known, or referred to, as the Birmingham Diocesan Education Service.
- x **'Local Academy Committee'** means the governing body of the School.
- xi **'Academy Committee Representatives'** means the governors appointed and elected to the Local Academy Committee of the School, from time to time.
- xii **'Principal'** means the substantive Principal, who is the person with overall responsibility for the day to day management of the school.
- xiii **'School'** means the school or college within The Romero Catholic Academy and includes all sites upon which the school undertaking is, from time to time, being carried out.
- xiv **'Shared Services Team'** means the staff who work in the central team across the Company (e.g. HR/ Finance)
- xv **'Vice-Chair'** means the Vice-Chair of the Governing Body elected from time to time.
- xvi **Appraisal due to lack of competence** means a lack of skill or aptitude leading to unsatisfactory performance. In these cases, this Appraisal Policy and Procedure will apply.
- xvii **Misconduct** means any action or inaction which contravenes the provisions of the employee's contract of employment, the rules laid down by the Board of Directors alongside the Local Academy Committee and/or any Professional Code of Conduct and Practice. In such cases the Disciplinary Policy and Procedure will apply and the Appraisal Policy and Procedure may also apply.
- xviii **Appraisal due to ill-health** means any inadequacy in health or any other physical or mental quality which results in unsatisfactory performance. In these cases the Sickness Absence Policy and Procedure will apply.



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 Appraisal Policy and Procedure.

2. Scope

- 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 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 at a Catholic academy. This commitment extends to promoting equality of opportunity and eliminating unlawful discrimination throughout the academy community.
- 2.3 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 Appraisal Policy and Procedure.
- 2.4 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.
- 2.5 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).
- 2.6 The Romero Catholic Academy delegates its authority in the manner set out in this policy.

3. Appraisal in a Catholic context

- 3.1 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.
- 3.2 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.
- 3.3 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.
- 3.4 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 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.

4. The appraisal period

- 4.1** The Appraisal Period will run for twelve months from April to March of the following year
- 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 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 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 to appraise an employee of the Academy.
- 5.2** The Appraiser will set employee objectives in accordance with Paragraph 6 below.
- 5.3** The Appraiser, through the Principal and/or Local Academy Committee, may seek advice from other external advisers including, but not limited to, the Birmingham Diocesan Schools' Commission.
- 5.4** Where it becomes apparent that an Appraiser appointed by the Principal will be absent for the majority of the Appraisal Period, the Principal may perform the duties of the Appraiser or delegate those duties to another teacher 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 suitable 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. 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 Romero Catholic Academy to ensure that they are consistent 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 state how e.g. quality assuring all objectives against the academy improvement plan.
- 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 Challenging, Specific, Measurable, Achievable, Realistic and Time-bound and will be appropriate to the employee's role and level of experience.
- 6.7** The Appraiser may consider the Academy's work/life balance strategy and the effects of an individual's circumstances, including any disability, when agreeing objectives.
- 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, and any such revision(s) to set objectives 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, arrangements for observation of lessons



taught by teachers at the Academy or elsewhere or discussing practice with advisory teachers or other support staff members.

7.5 Informal action could include establishing the expectations that the Academy and/or the Local Academy Committee 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.

Observation

7.9 The Academy believes that observation 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 observation will be carried out in a supportive fashion and should not be excessive.

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 for a period of between four and twelve working weeks, with appropriate support as agreed 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 process, 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)
- 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 Appraisal or disciplinary procedures. However, any relevant information from the appraisal process may be taken into account by those responsible for taking decisions about Appraisal.
- 8.4** The Appraisal Report will include:
- 8.4.1 Details of the employee's objectives for the relevant Appraisal Period;
 - 8.4.2 An assessment of the employee's performance of their role and responsibilities against their objectives and any relevant standards;
 - 8.4.3 An assessment of the employee's training and development needs and identification of any action that should be taken to address them;
 - 8.4.4 A recommendation on pay where that is relevant;
 - 8.4.5 A space for the employee's own comments
 - 8.4.6 School IP software will be used to record the Appraisal Report
- 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 Appraisal

- 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 Appraisal 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 Appraisal 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 of your Local Academy Committee. (refer to Appendix 1) and lodged within 10 working days of receipt of the Appraisal Report or the letter confirming that the Academy's Appraisal 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, excluding where the Principal 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:
- 9.6.1 the Appeal Manager may uphold the entries made in the Appraisal Report and/or the transition to Appraisal proceedings in accordance with Paragraph 8.6; or
- 9.6.2 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 Appraisal Policy & Procedure under Paragraph 8.6, the appeals will be heard together.
- 9.8 Further information relating to the Academy's Appraisal Appeal Procedure is set out in **Appendix 1**
- 9.9 You must let the person appointed to hold such meeting under Paragraph 9.4 above know who your Companion will be at least one working day before the meeting.

10. Companion

- 10.1 Where a meeting is held under Paragraphs 7.12 and 9.4, you may be accompanied by a Companion.
- 10.2 You must let the person appointed to hold such meeting under Paragraphs 7.12 and 9.4 above know who your Companion will be at least one working day before the meeting.
- 10.3 If you have any reasonable need, for example, because you have a disability, you can also be accompanied by a suitable helper. You must let the person appointed to hold such meeting know who your suitable helper is, at least one working day before the meeting.
- 10.4 Your Companion can address the meeting in order to:
- 10.4.1 put your case;
 - 10.4.2 sum up your case;
 - 10.4.3 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:
- 10.6.1 answer questions on your behalf;
 - 10.6.2 address the meeting if you do not wish it; or
 - 10.6.3 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 not usually postpone the meeting for a period in excess of 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

The aim is that meetings under this procedure will be held at mutually convenient times but depending on the circumstances meetings may:

- 11.1** be held when you were timetabled to assist with lessons;
- 11.2** be held after the end of the Academy day;
- 11.3** not be held on days on which you would not ordinarily work;
- 11.4** 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

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.

The Romero Catholic Academy has adopted the Disciplinary process and procedure from the CES and have reformatted it, in line with The Romero Catholic Academy brand. It will be reviewed in the Autumn term of 2019 by the HR Manager and approved by CC2.



Appendix 1

The Academy's Appeals Procedure

Employee Level	First/Second Appraisal Meeting – the Appraisal Manager	Final Appraisal Meeting – the Final Appraisal Manager	Appeal Manager (re Written Warnings)	Appeal Manager (re Dismissal)
Principal, CSEL, Senior Management in the Shared Services Team (ABD, Head of Finance or HR)	Chair or a non-staff Director of Board of Directors (other than the Vice-Chair) nominated by the Chair	Directors' Capability Panel appointed by the Vice-Chair	A non-staff Director (other than the Chair or Vice Chair) nominated by the Vice-Chair	Directors' Appeal Panel appointed by the Vice-Chair
Other Leadership Spine and School Business Manager; Shared Services Team	Principal or Academy Business Director (in case of SST)	Chair of Academy Committee or non-staff Academy Committee representative nominated by the Chair	A non-staff Academy representative (other than the Chair or Vice Chair) nominated by the Vice-Chair	Academy Committee representatives' Appeal Panel appointed by the Vice-Chair
Other Teaching Staff	(1) A member of the Leadership Team (other than the Principal) appointed by the Principal or, in the event that (1) above cannot be complied with, (2) a person appointed by the Principal	Principal	Chair of Academy Committee or a non-staff Academy Committee representative (other than the Vice-Chair) nominated by the Chair	Academy Committee' Appeal Panel appointed by the Vice-Chair
Other Support Staff	A person appointed by the Principal	Principal	Chair or a non-staff Governor (other than the Vice Chair) nominated by the Chair	Governors' Appeal Panel appointed by the Vice-Chair

Employee Level	Clerk to be notified
Principal, CSEL, Senior Management in the Shared Services Team (ABD, Head of Finance or HR) Shared Services Team (based in school)	Clerk to the Board of Directors
Other Leadership Spine and School Business Manager;	Clerk to the Academy Committee
Other Teaching Staff	Clerk to the Academy Committee
Other Support Staff	Clerk to the Academy Committee