



# **ENERGY COAST UTC**

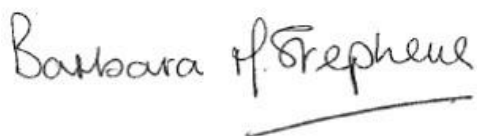
## **STAFF APPRAISAL POLICY**

***Support Staff***

**2021-2024**

**Approved:** Barbara Stephens, Chair of Governors

**Signed:**



**Date:** January 2021

**Date for Review:** January 2024

**Revision History:**

Revision History			
Revision	Date	Owner	Summary of Changes
0	March 2016	LM	Updated content
1	September 2016	LM	Updated content
2	September 2017	CT	Updated content
3	January 2019	CBT	Reviewed
4	January 2021	CBT	Reviewed as part of HR review

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## 1. PURPOSE

Energy Coast UTC is committed to the appraisal process as a tool to help develop all employees with the aim of improving the learning experience and outcomes for all students. This policy provides a framework for all support staff to agree and review objectives, priorities, receive feedback on their performance and agree any training and development needs.

This policy covers the appraisal process and applies to all support staff employed by the College, except those on contracts of less than one term and those who are subject to capability procedures.

As there are no national standards for support staff, these will be replaced by 'College expectations'. To a large extent, the College expectations for a support role will be found within the job description for the role, and additional information is available in other relevant documents such as the support employee role definitions.

Appraisal in the College will be a supportive and developmental process designed to ensure that all support staff have the skills, experience, qualifications and support they need to carry out their role effectively. It will help to ensure that employees are able to undertake their role effectively.

The policy sets out the framework for a clear and consistent assessment of the overall performance of support staff and for supporting their development needs within the context of the College Improvement Plan and their own professional needs. The assessment of individual performance throughout the cycle, against the performance criteria specified in the planning and review statement, will be the basis on which the pay recommendation is made by the appraiser.

## 2. SCOPE

This Appraisal Policy covers all support staff employed at the Energy Coast UTC. This policy is also clearly aligned with:

- The College Improvement Plan
- The Appraisal Policy for Teaching Staff
- Department for Education guidance on appraisal in schools

The College appraisal systems will be monitored and validated through the Self Evaluation Form, and through the College Improvement Plan.

Employee and governors have been consulted about the introduction of this policy and it will be evaluated and reviewed every three academic years.

## 3. ROLES AND RESPONSIBILITIES

Appraisal is a shared responsibility. The following stakeholders should adopt particular roles and responsibilities within the process:

**The Governing Body** has a strategic role in agreeing and monitoring the appraisal systems of the College. The Governing Body also has responsibility for setting the key objectives within the College Improvement Plan, which act as drivers for this Policy.

**The Principal** is responsible for implementing, monitoring and evaluating this Policy. The Principal is also responsible for assigning Appraisal Line Managers for particular groupings of employee.

**The Appraisal Line Manager** is responsible for scheduling appraisal review meetings and providing and completing the necessary paperwork.

**Employees** are responsible for working together with their Appraisal Line Manager to agree objectives, agree and discuss feedback, agree training and development requirements and to ensure the member of employee's job description is current.

#### **4. APPOINTMENT OF APPRAISERS FOR SUPPORT EMPLOYEE**

The maximum number of reviews that any Appraisal Line Manager will be expected to undertake per cycle is five.

Where an employee has more than one Line Manager the Principal will determine which Line Manager will be best placed to manage and review their performance.

Where an employee is of the opinion that the person to whom the Principal has delegated the appraiser's duties is unsuitable for professional reasons, he/she may submit a written request to the Principal for that appraiser to be replaced, stating those reasons.

Where it becomes apparent that the appraiser will be absent for the majority of the cycle, or is unsuitable for professional reasons, the Principal may perform the duties himself/herself or delegate them in their entirety to another senior member of employee.

An appraisal cycle will not begin again in the event of the appraiser being changed.

All line managers to whom the Principal has delegated the role of appraiser will receive appropriate preparation time and training and development for that role.

#### **5. CONSISTENCY OF TREATMENT AND FAIRNESS**

The Governing Body is committed to ensuring consistency of treatment and fairness in the operation of appraisal. The Governing Body is also committed to ensuring that the appraisal process is fair and is non-discriminatory (for example on the basis of race, gender, sexual orientation, disability, religion and belief, age, marital status, part time contracts and trade union membership). To ensure this, provisions are made in relation to moderation, quality assurance and objective setting.

The Principal has determined that s/he will delegate the appraiser role for some or all support staff for whom s/he is not the line manager. In these circumstances the Principal will moderate a sample of planning statements to check the plans recorded:

- Are consistent between those who have similar experience and similar levels of responsibility; and
- Comply with this policy, the regulations and the requirements of equality legislation.

#### **6. THE APPRAISAL PROCESS**

The performance of each member of support staff will be reviewed and objectives agreed on an annual basis. This must be completed for all members of support staff by 31<sup>st</sup> October. The appraisal cycle will run from 1<sup>st</sup> November to 31<sup>st</sup> October. The review will take place between the employee and their Appraisal Line Manager, and will be recorded using the Support Employee Performance and Review Form, which can be found in Appendix 1 of this document.

The timetable for appraisal reviews will be published annually by the Principal. It is the responsibility of the Appraisal Line Manager to set and agree a specific date and time with the employee. (the review must take place within the usual working pattern of the member of employee.)

The aims of the Appraisal Policy, which should be addressed as part of the review, are as follows:

- To assist the employee in performing their job to the best of their ability and maximising their contribution to the objectives of the College within the College Improvement Plan;
- To identify individual training and development requirements;
- To highlight the potential that each individual has to develop within his/her current position;
- To ensure the employee has a current and relevant job description.

All appraisal reviews should take place in private and should have no interruptions.

Confidentiality should also be agreed and be inherent within the process.

The cycle will start with a planning meeting and will end with a review meeting. These two meetings may be combined to form a single meeting that will mark the end of one cycle and the start of the next cycle.

Members of support staff employed on a fixed term contract of 1 term or more will have their performance appraised in accordance with this policy. The length of the cycle will be determined by the duration of their contract.

Where a member of support staff starts employment at the College part-way through a cycle, the Principal shall determine the length of the first cycle for that employee with a view to bringing his/her cycle into line with the cycle for other support staff at the College as soon as possible.

Where a member of support staff transfers to a new post within the College part-way through a cycle, the Principal shall determine whether the cycle shall begin again and whether to change the appraiser.

## **7. OBJECTIVE SETTING AND PERFORMANCE CRITERIA**

At the start of the cycle, the appraiser and employee will have a planning meeting during which:

- Objectives will be set
- Performance criteria will be determined
- Training and support needs will be determined
- Details of what data will be used to inform the review of performance and how it will be gathered will be determined

All appraisers are expected to explore the alignment of objectives for the employee with the priorities and plans of the College. The objectives should also reflect the job description and support staff grade definitions.

The objectives set will be SMART, in relation to support staff with similar roles/responsibilities and experience. They shall also take account of professional aspirations of the employee and any relevant pay progression criteria, and should be such that, if they are achieved, they will contribute to the objectives within the College Improvement Plan.

The appraisal cycle is annual, but on occasions it may be appropriate to set objectives that will cover a period over more than one cycle. In such cases, interim performance criteria for the end of the

cycle, as well as performance criteria for the overall objective, will be recorded in the planning and review statement at the start of the cycle.

The appraiser and employee will seek to agree the objectives, but where a joint determination cannot be made the appraiser will make the determination.

All members of support staff will have an objective linked to the whole College Improvement Plan. The number of objectives per cycle should be no more than three.

Though appraisal is an assessment of overall performance of the employee, objectives cannot cover the full range of the roles/responsibilities of a member of support staff. Objectives will, therefore, focus on the priorities for an individual for the cycle. At the review stage it will be assumed that those aspects of the roles/responsibilities not covered by the objectives (or any amendment to the statement which may have been necessary in accordance with the provisions of the regulations) have been carried out satisfactorily.

The content of the completed Support Employee Performance and Review Form should be agreed and signed by both the Appraisal Line Manager and employee and forwarded to the Principal.

The training and development requirements identified within the review and captured on the Support Employee Performance and Review Form will be considered by the Principal and will inform the employee training and Improvement Plan for the College.

## **8. TRANSITION TO CAPABILITY**

If the appraiser is not satisfied with progress, the employee will be notified in writing that the appraisal system will cease and that their performance will be managed under the capability procedure, and that they will be invited to a meeting under the relevant performance management procedure. The appraiser/line manager should provide the employee with a copy of the relevant Capability Procedure so that they are aware of the process

## **9. ANNUAL ASSESSMENT**

The performance of each member of support staff will be formally assessed in respect of each appraisal period.

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 in interim meetings which will take place.

The employee will receive as soon as practicable following the end of each appraisal period – and have the opportunity to comment in writing on – a written appraisal report by 31 October. The appraisal report will include:

- Details of the objectives for the appraisal period in question
- An assessment of the performance of the employee, of their role and responsibilities against their objectives and the relevant standards
- An assessment of the professional development needs of the employee and identification of any action that should be taken to address them
- A recommendation on pay where that is relevant

## **11. TRAINING AND SUPPORT**

The CPD programme of the College will be informed by the training and development needs identified in Part 3 of the Support Staff Performance and Review Form. Individualised CPD will be provided when necessary.

The Governing Body will ensure in the budget planning that, as far as possible, appropriate resources are made available in the College budget for training and support agreed for employees.

Appraisers will be made aware of the College budget for CPD prior to the planning meeting, and must take this into account when discussing the training and support necessary to enable employees to meet their objectives.

With regard to the provision of CPD in the case of competing demands on the College budget, a decision on relative priority will be taken with regard to:

- The extent to which the CPD identified is essential for an employee to meet their objectives; and
- The extent to which the training and support will help the College to achieve its priorities within the College Improvement Plan

The priorities of the College will take precedence.

Employees will not be held accountable for failing to make good progress towards meeting their performance criteria where the support recorded in the planning statement has for whatever reason been unable to be provided.

## **11. CONCERNS**

Within 10 days of the review, an employee can raise and record their concerns with aspects of the appraisal review with the Principal. A meeting will then be arranged as soon as reasonably possible to discuss the areas of concern and agree a finalised appraisal.

## **12. EVALUATION OF THE POLICY**

The Principal will provide an annual report to the Governing Body which evaluates the effectiveness of the policy and its impact on the College Improvement Plan.

## **13. REVIEW OF THE POLICY**

The Governing Body will review the Appraisal Policy every three academic years.

The Governing Body will take account of the Principal's report in its review of the Appraisal Policy. The policy will be revised as required to introduce any changes in regulation and statutory guidance to ensure that it is always up-to-date.

To ensure all employees are fully conversant with the appraisal arrangements, all new employees who join the College will be briefed on them as part of their induction to the College.

## **14. ACCESS TO DOCUMENTATION**

General appraisal documentation can be accessed on the College shared drive. Copies of individual appraisal documentation will be stored securely in accordance with the College's data protection procedures.



## APPENDIX A

### <Academic Year> Performance Management Objectives

Member of staff :	Reviewer:
Post details:	Date:

Objective	Success Criteria / Milestones
Objective One	•
Objective Two	•
Objective Three	•

Interim Meetings	Evidence / Comments against criteria
January 20__	
May 20__	

End of cycle review September 20__				
Summary Assessment of Performance for this Performance Management and Appraisal Cycle				
Objective	Achieved			Success / Progress against objective criteria / Areas for development
	Yes	No	Part	
Objective One				

Objective Two				
Objective Three				

<b>Member of Staff Comments</b>

.....  
Member of staff signature

.....  
Reviewer Signature