



Appraising the Performance of Non- Teaching Staff Policy

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PURPOSE

This policy sets out the framework for a clear and consistent assessment of the overall performance of non-teaching staff, and for supporting their professional and personal development within the context of the Trust's plan for improving educational provision and performance, and the relevant standards expected of their role.

The appraisal procedure will also be used to address any concerns that are raised about an individual's performance. If concerns are such that they cannot be resolved through the appraisal process, there will be consideration of whether to commence the separate capability procedure for non-teaching staff.

APPLICATION OF THE APPRAISAL POLICY

This policy applies to all non-teaching staff employed in the Trust except those on contracts of less than one term and those undergoing probation or subject to the formal stage of the capability procedure.

It is recommended issues which arise on a day-to-day basis are best addressed via discussions with the Line Manager as they occur. Appraisal in the Trust will be a supportive and developmental process designed to ensure that all staff have the skills and support they need to carry out their role effectively. It will help to ensure that individuals are able to continue to improve their practice and to develop professionally.

Performance management for non-teaching staff is a shared responsibility and requires both the Manager (reviewer) and the individual postholder to work together to ensure that objectives are discussed, agreed, and recorded. Reviewers must ensure that regular and objective feedback is given.

THE APPRAISAL PERIOD

The appraisal period will run for 12 months, normally from 1st September to 31st August.

Individuals who are employed on a fixed term contract of less than 1 year will have their performance managed in accordance with the principles underpinning this policy. The length of the period will be determined by the duration of their contract.

Where an individual starts their employment with the Trust part-way through a cycle, the Headteacher/Line Manager shall determine the length of the first cycle for that individual, with a view to bringing their cycle into line with the cycle for other non-teaching staff as soon as possible.

Where an individual transfers to a new post within the school or Trust part-way through a cycle, the Headteacher/Line Manager shall determine whether the cycle shall begin again and whether to change the appraiser.

APPOINTING APPRAISERS

Each member of non-teaching staff will have a designated reviewer to undertake their performance management review. This would usually be the Line Manager, however, there may be occasions where a more appropriate reviewer is identified based on their oversight of the postholder's work and with the ability to provide them with support.

Where an individual has more than 1 role within the school/Trust, feedback from the additional Manager/s will be sought from the reviewer and this will feed into the review process.

SETTING OBJECTIVES

Objectives for each employee will be set before, or as soon as practicable after, the start of each appraisal period. The objectives set will be Specific, Measurable, Achievable, Realistic and Time-bound and will be appropriate to the context of the appraisee's work and their role and level of experience/career stage. In setting the objectives, appraisers will have regard to what can reasonably be expected in the context of roles, responsibilities, and experience, consistent with the Trust's strategy for achieving a work/life balance for all staff.

Objectives will be recorded in the Appraisal Planning and Review Statement (see Appendix 1)

The appraiser and appraisee will seek to agree the objectives. Objectives may be revised if circumstances change. The Trust and its schools will operate a system of moderation to ensure that all appraisers are working to the same standards. Objectives will be moderated across the Trust/school to ensure that they are consistent. Should the objectives not be agreed, the final decision on allocation of objectives rests with the Headteacher or, within the Central Team, the Chief Finance and Operations Officer (CFO).

Setting more than 3 objectives, or using sub-objectives, can lead to unreasonable workloads and pressure, making the objectives more difficult to achieve. Therefore, other than in exceptional circumstances, no individual will be given more than 3 objectives.

The objectives set for everyone are intended to contribute to the school's/Trust's plans for improving the Trust's educational provision and performance and improving the education of pupils attending schools within the Trust and will take into account the professional aspirations of the individual.

The appraiser will take into account the effects of an individual's circumstances, including any disability, when agreeing objectives. For example, this might include a reasonable adjustment to allow an individual slightly longer to complete a task than might otherwise be the case. When staff return from a period of extended absence, objectives may be adjusted to allow them to readjust to their working environment.

REVIEWING PERFORMANCE

Evidence

A range of relevant sources of evidence can be used in the appraisal process in making an assessment of an individual's overall performance, whether they have met their objectives and their level of competence, making reference to any relevant standards. (For staff employed as Teaching Assistants the following link may be a useful reference document when reviewing performance and setting objectives) [TA Standards](#).

Other evidence might include (schools to determine in consultation with staff):

- self-assessment;
- peer-review;
- recorded information concerning the individual's conduct, performance, and attendance.

The latter may only be known to the Headteacher if it is an outcome of formal procedures. If so, the Headteacher may use the information in moderating appraisal outcomes.

Development and Support

Appraisal is a supportive process which will be used to inform continuing professional development. The Trust wishes to encourage a culture in which all staff take responsibility for improving their practice and performance through appropriate professional development. Professional development will be linked to Trust and schools' improvement priorities and to the on-going professional development needs and priorities of individual staff.

The schools'/Trust's CPD programme will be informed by the training and development needs identified as part of the appraisal process. The Board of Directors will ensure in the budget planning that, as far as possible, resources are made available in the schools' and central team's budgets for appropriate training, and support agreed for appraisees, maintaining access on an equitable basis.

An account of the training and development needs of individuals, including the instances where it did not prove possible to provide any agreed CPD, will form a part of the Headteacher's annual report to the CEO about the operation of the appraisal process in the school.

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

- a) the training and support will help the Trust/Schools' to achieve their priorities; and
- b) the CPD identified is essential for an appraisee to meet their objectives.

Account will be taken in a review meeting of where it has not been possible for an individual to fully meet their performance criteria because the support recorded in the planning statement has not been provided.

Where an individual is experiencing difficulties, see the section on staff experiencing difficulties (below).

Feedback

Staff will receive constructive feedback on their performance throughout the year. Feedback will highlight particular areas of strength as well as any areas that need development and will:

- give clear feedback to the individual;
- give the individual the opportunity to comment and discuss the concerns;
- agree any support (e.g. coaching, mentoring) that will be provided to help address developmental needs.

Where an individual is experiencing difficulties, see the section on staff experiencing difficulties (below).

ANNUAL ASSESSMENT

Each staff member's performance will be formally assessed in respect of each appraisal period.

At the end of the cycle, assessment of performance against an objective will be on the basis of the performance criteria set at the beginning of the cycle. Good progress towards the achievement of a challenging objective, even if the performance criteria have not been met in full, will be assessed favourably.

The performance management cycle is annual, but on occasions it may be appropriate to set objectives that will cover a period over more than 1 cycle. In such cases, the basis on which the progress being made towards meeting the performance criteria for the objective, will be assessed at the end of the first cycle and will be recorded in the planning and review statement at the beginning of the cycle.

Appraisers will prepare a draft appraisal planning and review statement which will be provided to the Headteacher for moderation and to ensure consistency of practice and standards. At this stage, the Headteacher/Line Manager may make use of any

recorded information concerning the individual's conduct, performance, and attendance in moderating the overall assessment.

The individual will receive, as soon as practicable following the end of each appraisal period, and have the opportunity to comment on, an agreed appraisal report (see [Appendix 1](#)). The agreed appraisal report will include:

- details of the individual's objectives for the appraisal period in question;
- an assessment of the individual's performance of their role and responsibilities against their objectives, and against any relevant standards;
- an assessment of the individual's training and development needs and identification of any action that should be taken to address them; and
- a space for the individual's own comments.

A review meeting will take place to discuss the content of the report and any further action required and to inform objective settings for the next cycle. In some circumstances, an interim review meeting may be appropriate.

The assessment of performance and of training and development needs will inform the planning process for the following appraisal period.

Where an individual is experiencing difficulties, see the section on staff experiencing difficulties (below).

STAFF EXPERIENCING DIFFICULTIES

When dealing with an individual experiencing difficulties, the objective is to provide support and guidance through the appraisal process in such a way that the individual's performance improves and the problem is, therefore, resolved.

Where it is apparent that an individual's personal circumstances are leading to difficulties at work, support will be offered as soon as possible, without waiting for the formal annual assessment. In such circumstances, advice and support from the SSE's HR Advisory Service should be sought and the individual should be advised to seek support from their union representative.

If an appraiser identifies through the appraisal process, or via other sources of information, for example verifiable parental concerns, that the difficulties experienced by an individual are such that, if not rectified, could lead to the commencement of the capability procedure, the appraiser, the Headteacher, or a member of the leadership team, will, as part of the appraisal process, meet the individual to discuss this and:

- give clear written feedback to the individual about the nature and seriousness of the concerns;
- give the individual the opportunity to comment on and discuss the concerns;
- give the individual at least 5 working days' notice that a meeting will be held to discuss targets for improvement, alongside a programme of support, and

inform them they have the right to be accompanied by a representative of a trade union or workplace colleague, and at any future meetings where capability will be discussed.

- in consultation with the individual at the above meeting, an action plan with support will be established (for example coaching, training, mentoring, visits to other schools/trusts), that will help address those specific concerns;
- make it clear how progress will be monitored and when it will be reviewed;
- explain the implications and process if no, or insufficient, improvement is made.

The individual'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 upon the circumstances, but will be for a specified period of time, for example half a term, with appropriate support as agreed in the action plan, in order that the aim of recovering and improving performance can be achieved. During this monitoring period, the individual will be given regular feedback on progress and arrangements will be made to modify the support programme if appropriate.

If sufficient progress is made such that the individual is performing at a level that indicates there is no longer a possibility of capability procedures being invoked the individual should be informed of this at a formal meeting with the appraiser or Headteacher. Following this meeting the appraisal process will continue as normal. If no, or insufficient, improvement has been made over this period, the individual will be invited to a transition meeting to determine whether the formal capability procedure needs to be commenced or the appraisal process remains in place. The individual may be assisted by a trade union representative or work colleague and will have at least 5 working days' notice of the meeting.

GENERAL PRINCIPLES UNDERLYING THIS POLICY

ACAS Code of Practice on Disciplinary and Grievance Procedures

In the first instance, issues relating to an individual's performance will be managed through the arrangements for non-teaching staff experiencing difficulties set out within this policy.

The conduct of any subsequent formal capability process will be undertaken outside the appraisal process under the separate capability procedure for non-teaching staff and in accordance with the provisions of the ACAS Code of Practice.

Consistency of Treatment and Fairness

The Board of Directors is committed to ensuring consistency of treatment and fairness and will abide by all relevant equality legislation.

Sickness

If long term sickness absence appears to have been triggered by the commencement of monitoring or application of the non-teaching staff experiencing difficulties procedure, the case will be dealt with in accordance with the Trust's absence policy and will normally be referred to the occupational health service to assess the member of staff's health and fitness for continued employment and the appropriateness, or otherwise, of continuing with monitoring or formal procedures. In some cases, it may be appropriate for formal procedures to continue during a period of sickness absence. However, the views of the occupational health physician will always be taken into account before a decision is reached.

Grievances

Where a member of staff raises a grievance during the appraisal or non-teaching staff experiencing difficulties process, the appraisal or non-teaching staff experiencing difficulties process may be temporarily suspended in order to deal with the grievance. Where the grievance and appraisal or non-teaching staff experiencing difficulties procedure cases are related, it may be appropriate to deal with both issues concurrently.

Confidentiality & Professional Relationships

The appraisal and non-teaching staff experiencing difficulties processes will be treated with confidentiality. Only the appraiser's Line Manager or, where they had more than 1, each of their Line Managers will be provided with access to the appraisee's plan recorded in her/his statements. This will be done upon request and only where this is necessary, to enable the Line Manager to their line management responsibilities. Appraisees will be consulted, on requests, for access to statements in the context of this policy.

The process of gathering evidence for appraisal will not compromise normal professional relationships. The Board of Directors recognises that the appraiser will consult with, and seek to secure the agreement of, the appraisee before seeking information from other colleagues about the work of the appraisee.

However, the desire for confidentiality does not override the need for the Headteacher/Line Manager and Board of Directors/CEO to quality-assure the operation and effectiveness of the appraisal system. The Headteacher/Line Manager or appropriate leadership colleague might, for example, review all of the individual's objectives and written appraisal records personally, to check consistency of approach and expectation between different appraisers.

Monitoring and Evaluation

The CEO and Headteachers will monitor the operation and effectiveness of the schools' appraisal arrangements. The CFO will monitor the operation and effectiveness of the central team's appraisal arrangements.

The Headteachers will provide the CEO with a written or verbal report on the operation of the school's appraisal and Improving Individual Performance policies annually. The CFO will provide the CEO with a written or verbal report on the operation of the central team's appraisal and Improving Individual Performance policies annually. These reports will not identify any individual by name.¹

The report will include an assessment of the impact of these policies on:

- race;
- sex;
- sexual orientation;
- disability;
- religion and beliefs;
- age;
- part-time status; and
- maternity and pregnancy.

The Headteacher/CFO will report on whether there have been any appeals or representations, on an individual or collective basis, on the grounds of alleged discrimination.

Retention

The CEO and Headteachers will ensure that all written appraisal records are retained in a secure place for 6 years and then destroyed.

¹ Particular care will need to be taken, especially in smaller schools, to ensure that by reporting on the operation of the policy with reference to protected characteristics the report does not inadvertently identify individual employees.

PDR



Date of Review: _____

Summary of Meeting

Staff Member:	
Line Manager:	
Current post:	

1. Review of job description

Has current job description been discussed?

YES NO

Is current JD appropriate for the role?

YES NO**2. Summary of discussion**Achievements and efforts:Areas for Improvement:

Objectives:

-
-
-
-

The content of this record has been agreed by:

Signed (staff)		Date:	
Signed (line manager)		Date:	
Signed (Headteacher/CEO)		Date:	



PDR

Pre-Meeting Preparation Sheet

You are encouraged to consider the following questions and review your performance and achievements over the last year.

How am I doing?

What are my key tasks and priorities? What parts of my performance and achievements am I pleased with? What parts of my job do I enjoy? What parts of my performance could be improved? Are my skills and abilities used to best effect? What training or development do I need so that I can do better? What has stopped me from doing as well as I would like?

What would I like to do next?

Where am I going?

Where do I see myself in the next year or two? Where do I see myself in the next five years? What help do I need from the school in order to improve my prospects? What action do I need to take to improve my prospects?

Do you have a job description? YES NO

Do you understand the requirements of your job? YES NO