



# Chiltern Way Academy Trust

Turning Futures Around

## **Performance Management (PM) Policy (Support Staff)**

**Policy owner: Chief Operations Officer**

**Responsibility for its review: FGP**

**Approved: 3.02.2022**

**Next Review Date: Spring 2024**

## Contents:

	<b>Page</b>
1. Introduction	3
2. The Purpose and Benefits of Appraisal	4
3. Appraisal Cycle and Meetings	5
4. Preparing for the Appraisal Review Meeting	5
5. The Appraisal Discussion	6
6. Setting Objectives	6
7. Recording the Outcome of the Appraisal Discussion	7
8. Ongoing Monitoring and Review	7
9. Development and Training	7
10. Appraisal Training and Briefing Staff	8
11. Confidentiality	8
12. Monitoring and Evaluation	8
13. Retention of Records	8
14. Equal Opportunities	8
15. Appeals	9
 Appendix 1: - Preparation Sheet	
Appendix 2: - Appraisal Report	

## 1. Introduction

In order to achieve its vision and aims, the Trust recognises the importance that each individual member of staff plays in the provision of excellent quality education for our students. The Trust will endeavour to make available to all staff high quality performance appraisal which will provide an opportunity for review, reflection, the celebration of success and through professional development and training opportunities to assist staff in working to a high standard and maximising their full potential.

- **Roles**

The Line Manager who is responsible for the appraisal of their staff is referred to as the “Appraiser” and the member of staff is referred to as the “Appraisee”.

- **Assessment of performance**

This procedure sets out the framework for a clear and consistent appraisal of employee performance, designed to contribute to the overall effectiveness of the Academy and the quality of teaching and learning for students. It is intended that the appraisal discussion provides an opportunity for reflection, review, and the celebration of success and an assessment of performance. It is a forum for the identification of training and development needs and it provide a means of linking these into the Academy’s training and development plan.

- **Cycle for Performance Appraisal**

The process for review and objective setting will link to the April-March annual cycle and link to the Academy Improvement Plan. The appraisal meetings will take place in the spring term and there should be a planned mid-year review.

- **Commitment to Professional Development and Training**

Professional development and training requires the commitment of the Academy and the employee. The Academy Trust is committed to providing appropriate and reasonable resources and opportunities to enable the professional development and training of all staff. It is expected that staff will engage seriously with the development and training opportunities provided. This may be delivered through coaching, mentoring, team meetings, network meetings, training events, professional studies and e-learning. Wherever possible these activities will be within normal contracted working hours and where staff are requested to attend training during non-contracted time, such hours will be paid. As much notice as possible will be given for these activities outside of normal contracted working hours and these hours will be paid as overtime where appropriate. The Trust will ensure that employees’ personal circumstances are taken into consideration.

## 2. The Purpose and Benefits of Appraisal

The purpose of the appraisal system is to improve the performance of staff within the Academy. This involves:

- Reviewing past performance against CEO areas of accountability and previous objectives.
- Identifying obstacles that may be affecting performance.
- Setting future objectives, both personal and operational.
- Identifying, agreeing and planning training and development needs
- Agreeing a plan of action for the future.

Swift system provides a mechanism for recording the outcomes of the appraisal discussion. Academies may decide that it is more practical for some groups of staff to use a paper system for recording the appraisal discussion and an example Appraisal Report Form is shown at Appendix 2.

### **Appraisal discussion enables the Appraisee to:**

- Gain a clear picture of what is expected of them.
- Discuss priorities and be given clear direction.
- Discuss their strengths and weaknesses and to receive feedback on their performance.
- Be heard and respected.
- Be offered constructive guidance on attaining agreed objectives.
- Discuss their future professional development and training needs.
- Identify any areas of difficulty and learn from past experiences.

### **The Appraiser will:**

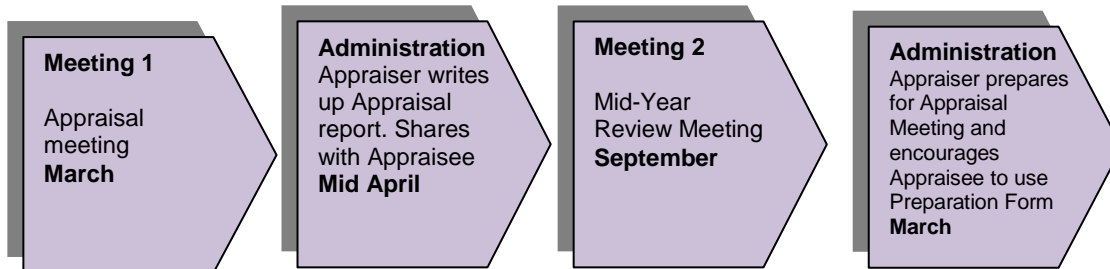
- Gain greater insight into the way the appraisee works and performs.
- Gain greater understanding of the job-holder's potential, needs, strengths and weaknesses.
- Have an opportunity to celebrate success and motivate them for the future.
- Use the opportunity to develop staff by agreeing future objectives.
- Identify training and development needs, particularly for those in new or changing circumstances.
- Develop a consistent approach to guidance and encouragement.

### **The Trust will: -**

- Benefit from improved communication with staff and improved efficiency.
- Have an increased ability to assess staffing needs and enhance the development of staff.
- Be able to plan and co-ordinate staff training needs.
- Have a more accurate assessment of individual potential.
- Benefit from an increasingly professional and competent workforce.

### 3. Appraisal Cycle and Meetings

Each Academy will determine locally the exact timing of the appraisal period in order to fit with the local calendar of activity. However, it is intended that the appraisal cycle will run from April to the end of March for each year and will include the following stages:



**Note: The time scale is indicative and there will be some variation between Academies**

### 4. Preparing for the Appraisal Review Meeting

#### 4.1 Identification of the Appraiser

Employees will be appraised annually by their Line Manager, taking into account the need for the Appraiser to have an understanding of the Appraisee's duties and responsibilities. The Chief Financial Officer will make final decisions regarding the identification of Appraisers in conjunction with the CEO.

#### 4.2 Preparing for the Meeting

##### ***Appraiser Preparation:***

The Appraiser should prepare by ensuring that they have a copy of the following documents:

- Academy Development/Departmental Improvement Plan
- Job description
- Previous appraisal document.
- Appraisee's Self Reflection Preparation document (see Appendix A)

The Appraiser should prepare for the appraisal meeting, by reviewing the objectives set during the previous appraisal cycle and considering what evidence is available to demonstrate progress.

##### ***Appraisee Preparation:***

It is important for Appraisees to undertake their personal preparation for the Appraisal Review meeting. This should include reflection on performance over the past appraisal period, - what has gone well and what not so well? How has training and development undertaken assisted the individual in their role?

Appraisees are encouraged to use the Appraisal Preparation Sheet shown at Appendix A to assist them in their personal reflection. On completion, the Appraisee should provide the Appraiser with a copy of the Preparation Sheet in advance of the meeting and given reasonable paid time in the working day to complete this exercise. Where the meeting is not within normal working time consideration must be given to the employee's personal circumstances e.g. childcare.

### **4.3 Date, time and location for meeting**

The Appraisal meeting should be planned in advance. Appraisers will give at least 10 days' notice of a review meeting to enable their Appraisee to prepare. The meeting should take place in a confidential and quiet location, which is free from interruptions and disturbance. Sufficient time, at least 1 hour, should be set aside for the meeting. Wherever possible this meeting will be within normal contracted working hours and will in all circumstances be paid.

## **5. The Appraisal Discussion**

The first part of the Appraisal Review discussion will include a reflection on the previous year. What has gone well and could be even better? There will be a review of progress with respect to the objectives set and a discussion about the evidence provided to demonstrate success. Where the Appraisee has engaged in development and training activities in the past appraisal period, there should be a discussion about what development has taken place and how this has assisted the individual with their role.

The second part of the Appraisal discussion should focus on the future. This will include, setting appropriate objectives (see Section 7), identifying any areas for development or improvement and discussing what support, training and development may be required to support the appraisee in their role.

## **6. Setting Objectives**

Objectives should be relevant to the Appraisee's job and link to the Departmental Plans and the Academy/Trust Improvement Plans. The scope of the objectives set should be relevant to the level and type of role undertaken.

It is good practice for the number of objectives not to exceed 3. The number should be proportionate to the role. For example a lunch time supervisor working 2 hours a day, might have one objective.

For some roles, it will be possible to link objectives to relevant professional or occupational standards, e.g. HLTA standards or National College competencies for School Business Managers.

Appraisers should discuss future objectives with the Appraisee, ensuring that they are relevant to the role and context. Objectives should be: SMART (Specific, Measurable, Achievable, Realistic and Time bound).

It is important to discuss and determine what will be used as evidence of success. This will assist in providing clarity at the next review stage as to whether or not the objective has been achieved and how it has been achieved. The system of setting SMART objectives will assist with this.

Objectives should be mutually agreed where possible. Where it is not possible to achieve agreement on the objectives, the decision of the Appraiser (Line Manager) is final.

## **7. Recording the Outcome of the Appraisal Discussion**

### **7.1 Outcome of the Appraisal**

The outcome of the appraisal review and planning discussion should be recorded. This will be a confidential record of what was discussed and proposed. This will include a record of the objectives agreed and the success criteria aimed for. The record should also refer to the training and development needs identified and how these might be addressed. The Appraisee must be given an opportunity to comment on the review and the review document (whether paper based on-line) be signed by both parties.

### **7.2 Method of recording the Outcomes**

Where a paper based recording system is used, it is important that the Appraiser and appraisee have a written copy of the objectives and the Appraiser have a copy of the signed document.

## **8. Ongoing Monitoring and Review (and Mid-Year Review Meeting)**

An effective Appraiser/Line Manager should monitor and review staff performance on an ongoing basis, providing regular feedback and encouragement including allowing time for informal discussions.

It is also good practice to include a planned Mid-Year Review meeting. This will provide an opportunity for a confidential discussion regarding progress with the objectives, discuss the role and appraisee performance and provide an opportunity to address any issues or areas of concern which may have arisen. In some cases it may be necessary to adjust an objective, discuss and seek to resolve issues and challenges and identify additional support or training. These should be open and honest discussions with aim of ensuring that there are no surprises at the time of the appraisal review meeting.

## **9. Development and Training**

The appraisal discussion should include the identification of development and training needs and how the identified needs might be most effectively met.

All staff have a shared responsibility for their own professional development and training and as part of this should engage fully with training and development opportunities provided through the Academy. Development and training can be delivered through a variety of means. For example, coaching, mentoring, team meetings, networking, working on projects, individual reading and research, attending in-house or external training events, studying for professional qualifications.

## **10. Appraisal Training and Briefing Staff**

It is important that all staff with Appraiser responsibilities undertake relevant training in order to understand the appraisal policy and procedure and to develop the skills, knowledge and understanding to effectively undertake the appraisal planning and review meetings with their appraisee.

Academies should also ensure that staff are made aware of the Appraisal Process and timeline, the purpose of appraisal and the expectations placed on staff to engage with and participate in relevant development and training opportunities. Staff should be made aware about how they will be supported if their performance is a cause for concern.

## **11. Confidentiality**

The appraisal process will be treated with confidentiality and the review statements are confidential to the Appraiser, the Appraisee and CEO/CFO. However, the desire for confidentiality does not override the need for the CEO/Business Manager and the Academy Council to quality assure the operation and effectiveness of the appraisal system.

## **12. Monitoring and Evaluation**

The CEO and the Academy Council will monitor the operation and effectiveness of the Academy's appraisal arrangements.

- This will include the sampling of objectives to ensure that they link to Academy priorities, are SMART and are appropriate for the role and level of the member of staff.
- The provision of an annual report to the Academy Council on the appraisal process and its impact on Academy performance. The report should also identify the overall development and training priorities that have been identified.

## **13. Retention of Records**

Paper and electronic appraisal records will be retained securely for up to 6 years in accordance with the principles set out within Data Protection Act. Appraisal records will be shared with new employers, if requested, with the agreement of the employee.

## **14. Equal Opportunities**

The Academy Trust is committed to ensuring consistency of treatment and fairness and will abide by all relevant equality legislation. This policy will operate in accordance with the Trust's



commitment to equality of opportunity and diversity.

## **15. Appeals**

Where an Appraisee is dissatisfied with the Appraisal Process or the Appraisal Report the Appraisee may wish to discuss and get advice from their TU Rep. The expectation is that they should first seek to resolve their concerns with the Appraising Manager directly within 10 days of receiving their Appraisal Report.

Should it prove impossible to resolve matters through this route, the Appraisee may Appeal in writing to the Academy HR Manager or EA to the CEO.

Appeals will be heard by a more senior manager. This will usually be the CFO or the CEO. If the member of staff reports directly to the CEO the Appeal may be made to a panel drawn from the Trust Board. The Appraisee has the right to be accompanied at an Appeal hearing by a union or work colleague.

The Appeal Hearing will be arranged as quickly as possible and within 15 working days of receipt of the employee's written appeal and will take into account the flexibility required for all parties to attend.

## SUPPORT STAFF PERFORMANCE APPRAISAL – STAFF PREPARATION SHEET

**Name:**

**Date:**

These questions are pointers to help you think about your performance – past, present and future in advance of your Appraisal meeting with your Line Manager. They may assist you to structure your thoughts about past performance and future activities and enable you to be clear about the things you would like to discuss. You may choose to share this form with your Line Manager in advance of your Appraisal meeting if you would like to. Alternatively, bring it with you as an aid to your discussion.

The past 12 months

1. What have been my achievements over the last year?
2. Where do I feel I have been most successful?
3. Where do I feel I have been least successful?
4. What development and training have you engaged with in the last year and how has this helped you?

The next 12 months

1. What do I think are the most important tasks and priorities to be achieved in the coming year?
2. What constraints or obstacles might prevent their achievement and in what way might they be overcome?

## Appraisal Report

**Name:**

**Job Title:**

**Reviewer:**

**Date of review meeting:**

**1. Note the employee's comments on what has gone well in the past year and any aspect that has been difficult.**

<b>2. Review of Objectives set in past period:</b>		
<b>Objective:</b>	<b>Progress:</b>	<b>Objective met/partially met/not met:</b>

**3. Note your discussions about challenges or areas of improvement for the coming year.**

<b>4. Objectives for the coming year:</b>		
<b>Objective:</b>	<b>Evidence of Success:</b>	<b>Note of any Training and Development needed to support the achievement of the objective</b>

**5. Comments from the job holder:**

Job holder signature:	Date
Appraiser signature:	Date