

Academies Trust

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Performance Management Policy (Support Staff)

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Performance Management Policy

Support Staff

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Performance Management Policy - Support Staff

1.0 Who does this policy apply to?

1.1 This policy applies to all support staff employed by Co-op Academies Trust except those on contracts of less than one term, those undergoing induction and those who are the subject of capability procedures.

1.2 Staff employed by an agency are not covered by this policy, however, if they are working with the Trust for an extended period it is expected that their performance will be managed in line with the principles set out in this policy.

1.3 The policy refers to the Headteacher / Principals and the Local Governing body (LGB), but these terms are interchangeable with Director of the Trust and Trust Board throughout where this policy is in use for central team members.

2.0 Purpose

2.1 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 pupils & students. The Trust is committed to making available to all staff high quality fair and consistent performance management process, which will provide an opportunity for review, reflection, the celebration of success, and access to professional development and training opportunities, to assist colleagues in working to a high standard and achieving their full potential.

2.2 This policy sets out the framework for a clear and consistent management of the overall performance of support staff within the Trust's plan for improving educational provision and performance, and for supporting their development needs within the context of an Academy's improvement plan (or the Trust's strategic plan in the case of central team employees).

2.3 The planning & review process will be a supportive and developmental process designed to foster professional dialogue between colleagues and ensure that all staff have the skills and support they need to carry out their role effectively. It will help to provide staff with real clarity around what is expected of them in their role, and help ensure that they are proactive in continuing their development.

2.4 Whilst this policy sets out the formal performance management process, in the same way that we aim for all our pupils/students to strive to improve their performance and to maximise their potential, so we expect all our staff to work towards improving their individual performance, the work of their team and their contribution to the academy's overall performance, and will support and encourage them in doing so throughout the year.

2.5 Each Academy is expected to exercise professional judgement within the framework provided by this policy. It is intended that the performance management process will inform each Academy's self-evaluation and wider Academy improvement process; and similarly, that the Academy Improvement Plan will inform the objectives set through the performance management process.

3.0 The Performance Management Cycle

3.1 Performance management should be a regular cycle of 'plan', 'do' and 'review', with formal meetings documented on the planning and review form (**Annex 1**).

3.2 Each academy will determine locally the exact timing of the process, however, it is intended that the cycle will run from September to August for each academic year and will include the following stages:

- **Preparation** – both the reviewer and employee should prepare for the meeting (see **Annex 2**)
- **Meeting 1** – an annual meeting between reviewer and employee to review the previous year's performance and to draw up a performance plan for the next 12 months. These meetings will usually take place in the first half of the Autumn Term.
- **Administration** – completion of the planning & review form following the meeting
- **Meeting 2** – a formal mid-year review should take place during the Spring Term, with a record of the review made.

3.3 It is recommended that, by mutual agreement, other informal reviews of progress also take place to ensure that performance against objectives is on track and appropriate support and development is being provided.

3.4 Where staff join part way through the year, performance planning will take place no longer than three months after their starting date, with review taking place by the next Academy annual review date; objectives agreed will be appropriate to the duration between these dates.

3.5 Where an employee transfers to a new post within the Trust part-way through a cycle, a decision should be taken as to whether it is appropriate to change the reviewer and/or update the objectives. In this case, the end of year review will need to take account of both parts of the cycle and a meeting should take place to discuss the changes, with a written addition being made to the Planning & Review Report.

3.6 Other circumstances where it may be appropriate to agree and document changes might be due to a disability requiring a reasonable adjustment, or a long period of absence due to maternity or long term sickness absence.

3.7 Where an employee is going on maternity leave, consideration should be given to completing the end of year review (review of objectives) prior to the maternity leave commencing.

4.0 Appointment of Reviewers

4.1 Performance of support staff will be reviewed by their line manager, taking in to account the need for the reviewer to have an understanding of the reviewee's duties and responsibilities. In the case where the Headteacher / Principal is not the employee's line manager, they will make final decisions regarding the identification of reviewers – and where a staff member has more than one line manager will determine who is best placed to manage and review performance. In this instance, the 'lead' line manager should seek input from the other line managers when setting objectives, development planning, and conducting the end of year review.

4.2 Where it becomes apparent that the reviewer will be absent for the majority of the cycle, or is unsuitable or unavailable for other reasons, the Headteacher / Principal may perform the duties himself/herself or delegate them in their entirety to another member of the Senior Leadership Team.

4.3 A performance management cycle will not begin again in the event of the reviewer being changed.

4.4 Where the role of reviewer has been delegated the Headteacher / Principal, or someone with appropriate seniority, will check a sample of planning statements to check that the plans recorded in the statements are consistent between those who have similar experience and similar levels of responsibility and comply with the Trust's Performance Management Policy for support staff.

4.5 It is the responsibility of the Headteacher/Principal to ensure that all reviewers are appropriately prepared for and briefed on the role, so they develop the skills and understanding to effectively undertake the planning & review meetings with their reviewee(s).

5.0 Preparing for the meeting

5.1 It is important that both the reviewer and the reviewee take time to prepare for the planning & review meeting. Further guidance is given in **Annex 2**.

5.2 Academies may choose to produce, and ask their employees to complete, a preparation sheet – the questions posed in Annex 2 could be used as a basis for this.

5.3 The planning & review meeting should be planned in advance, with at least 5 days' notice given so that there is sufficient time to prepare.

5.4 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.

5.5 The first part of the meeting will include a reflection on the previous year and a review of progress with respect to the objectives set and a discussion about the evidence provided to demonstrate success, and a discussion about what development has taken place and how this has assisted the individual with their role.

5.6 The second part of the meeting should focus on the future. This will include, setting appropriate objectives, identifying any areas for development or improvement and discussing what support, training and development may be required to support the employee in their role.

6.0 Objective Setting

6.1 The objectives set will be appropriate to the employee's role, taking into account what can reasonably be expected given:

- the nature of the job
- the extent to which professional or other qualifications are required
- the scope within the job for enrichment, enlargement or innovation
- hours worked by part-time employees.

6.2 In all cases, objectives will be appropriately rigorous and challenging, achievable, time-bound, and fair and equitable in relation to staff with similar roles/responsibilities and experience.

6.3 The reviewer and employee will seek to agree the objectives but where a joint determination cannot be made the reviewer will make the determination. Objectives will be documented in the planning and review form.

6.4 In agreeing objectives for support staff, the following points should be considered:

- staff will normally have no more than 3 objectives
- staff will not necessarily all have the same number of objectives
- where applicable, staff will have a leadership objective
- staff may have a team and/or whole Academy objective, as appropriate
- 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.

6.5 Though performance management is an assessment of overall performance, objectives will not necessarily cover the full range of an employee's responsibilities. Objectives will, therefore, focus on the priorities for an individual for the cycle. At the review stage it will be expected, as a matter of course, that those aspects of an employee's job role not covered by the objectives have been carried out satisfactorily. Indication of satisfactory progress or otherwise on the wider role should be given, as a context to achievement of the specific objectives.

6.6 Performance management links closely to plans for academy improvement; all reviewers are expected to consider how employees' objectives contribute to achievement of the academy's priorities and plans. The objectives should also reflect employee's professional and/or career development aspirations where relevant.

6.7 There is an expectation that all staff will work in line with co-operative values (see **Annex 3**) at all times; an employee's objectives may include an activity or development in this respect, if applicable.

7.0 Reviewing Progress

7.1 At the end of the cycle, assessment of performance against objectives will be on the basis of the performance criteria stated in the performance plan. Good progress towards the achievement of a challenging objective, even if the performance criteria have not been met in full, will be considered favourably.

7.2 The reviewer and employee should have an open two-way dialogue, focused on seeking to achieve a shared understanding of progress towards meeting the objectives and exploring any issues that may have impeded progress. They should seek to agree an overall assessment of performance, and record this in the report. The employee is expected to play an active part in the meeting, clearly and confidently putting forward their views about their performance and future development.

7.3 The performance management cycle is annual, but on occasions it may be appropriate to set objectives that will cover a period over more than one cycle with appropriate milestones. 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.

7.4 There may be instances where this procedure identifies that an employee may be experiencing difficulties in carrying out his or her job, or some significant element of that job (see **Annex 4** for guidance).

8.0 Training and Development

8.1 A key part of the planning and review discussion should also include agreeing and documenting any support, training and/or development that the employee will need in order to meet the performance requirements of their role and to achieve the agreed objectives, in addition to any other continuing professional development which may also be discussed. Plans for training and development should be realistic, commensurate with the experience of the employee and the next steps of their career, and in line with their academy's improvement plan.

8.2 Each academy will put in place a training and professional development programme, which will be informed by the training and development identified in the employees' planning and review statements and any wider development needs identified within the academy or the Trust as a whole.

8.3 Each Local Governing Body will ensure in the budget planning that, as far as possible, appropriate resources are made available in the academy budget for training and support for employees. In the case of competing demands on the budget, a decision on relative priority will be taken with regard to the extent to

which: (a) the training/development identified is essential for an employee to meet their objectives and/or perform their job¹; and (b) the extent to which it will help the Trust to achieve its priorities.

8.4 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 by the Trust and its academies. Whilst an academy may not be able to support all requests for training and development, there is an expectation that the employee will undertake the development actions that are approved, unless there are mitigating factors.

8.5 Wherever possible, training and development activities will take place within normal contracted working hours. Where staff are asked to attend training during non-contracted time, such hours will be paid.

9.0 Appeals

9.1 Both the reviewer and employee should make a genuine attempt to resolve disagreement by discussion rather than appeal. An employee who is dissatisfied should first seek to resolve their concerns with their reviewer directly within 10 days of receiving their performance management report. This stage in the process will help to ensure that decisions are transparent and fair and may also help to mitigate the need for a more formal appeal.

9.2 If it is not possible to resolve matters in this way, the employee has the right to raise an appeal in writing to their Headteacher / Principal.

9.3 Appeals will be heard by a more senior manager than the reviewer. This will usually be the Headteacher / Principal. If the employee reports directly to the Headteacher / Principal, the appeal may be made to the Chair of Governors, who will arrange for the appeal to be heard by a panel drawn from the Local Governing Body.

9.4 The employee has the right to be accompanied to the appeal hearing by a union representative or work colleague.

9.5 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 in to account the flexibility required for all parties to attend. Where an employee wishes to appeal on more than one point, this would still constitute one appeal hearing.

10.0 Use and retention of Planning & Review Statements

10.1 The performance management process and the statements generated under it, in particular, will be treated with strict confidentiality at all times.

10.2 The employee will be provided with a copy of their Planning & Review form, and a copy will be stored securely by the Headteacher / Principal. Only the Headteacher / Principal, or his/her delegated representative, and the employee's line manager(s) will have access to the employee's objectives and development plan to enable the review to take place and the line manager(s) to discharge her/his line management responsibilities.

10.3 Performance management planning and review forms will be retained for a minimum period of 6 years from the date on which the cycle it relates started.

¹ For clarity: where it is agreed by the Headteacher/Principal that training, development or support is necessary in order for an employee to delivery their objectives or otherwise perform their role, then this will be funded.

10.4 Where electronic systems such as SIMS or Blue Sky are used to support the performance management process, access levels should be set in line with this policy.

11.0 Monitoring, Evaluation and Review

11.1 This policy will be reviewed at least once every three years.

11.2 Local Governing Bodies (LGBs) are responsible for monitoring the operation and outcomes of performance management arrangements.

11.3 The Headteacher / Principal will provide their LGB with a written report on the operation of the performance management policy annually. The report will not contain any information which would enable any individual to be identified. The report will include:

- (a) the operation of the performance management policy;
- (b) the effectiveness of the Academy's performance management procedures;
- (c) support staff training and development needs.

Ends.

Annex 1

**Performance Management (Support Staff)
Planning & Review Form**

Employee name:	Reviewer name:
Job title:	Job title:
Based at:	Date of planning meeting:
Date of mid-year review:	Date of end-of-year review:

OBJECTIVES & SUCCESS CRITERIA FOR FORTHCOMING YEAR

Use this space to document the objectives, including performance criteria / measures / milestones and when it will be completed by. Add additional lines if necessary.

	Objective and success criteria	By when?
1		
2		
3		

PLANNING PERSONAL DEVELOPMENT

Use this space to document the competencies and skills identified for development in the coming year. Add additional lines if necessary. Clearly distinguish between development that is required to successfully achieve objectives / deliver the job, and other continuing professional development.

Personal development need, <i>e.g. which skills / competencies identified, and what is the current and desired level of these?</i>	How will this be developed? <i>(e.g. coaching, shadowing a colleague, training course, reading or research)</i>	Measurement <i>How will success be measured? What types of supporting evidence will be gathered.</i>

Use this space to record any other relevant information in relation to the forthcoming year:

Sign here to indicate that the objectives have been agreed.

Signed:
Employee

Signed:
Reviewer

Date:

Date:

NOTES FROM MID-YEAR REVIEW

Objective	Use this space to make a note of progress. Is achievement of objectives 'on track'?
1	
2	
3	

Overall, is the employee performing their job role to the level expected? YES / NO

Please add comments here:

Use this space to make a record of professional dialogue regarding progress, support, training, evidence and feedback

Employee's comments:

Signed:
Employee

Signed:
Reviewer

Date:

Date:

END OF YEAR REVIEW

Use this space to review performance, completion of objectives, and development undertaken in the previous year.

Objective	Has the objective been achieved? <i>(yes, no, partly)</i>	What evidence supports this? <i>Note any factors that have affected performance.</i>
1		
2		
3		

Overall, is the employee performing their job role to the level expected? YES / NO

Please add comments here:

Personal development need identified at start of year, including previous skill / competency level.	Current skill / competency level. Has the development need been fully addressed?	Supporting evidence. Note any factors that have affected performance.

Use this space to make a record of any points from professional dialogue not covered above:

Employee’s comments:

Reviewer's comments:

I agree that this is a true record of the review meeting:

Signed:
Employee

Signed:
Reviewer

Date:

Date:

Guidance – preparation for the planning & review meeting

1. Guidance for employees

Before your planning and review meeting, think about the following points – it is a good idea to make some notes!

Looking back over the review period:

- Have you achieved the objectives set?
- What objectives / parts of your job do you feel you have done particularly well?
- Where objectives have been achieved, what do you think helped you to achieve them?
- Where objectives have not been fully achieved, what prevented you from completing them?
- How has your job changed since your last planning and review meeting?
- If it has changed, how have you adapted in response?
- What new skills / knowledge / competencies have you acquired since your last planning and review meeting?
- How have these helped you in your current role?
- How have you demonstrated the co-operative values in your work?
- What have you learned about yourself and how you work?
- Is there anything that we can do to help you do your job better?

Looking ahead to next year:

- What changes do you anticipate in your work in the next 6 to 12 months?
- If your work is unlikely to change, how can you continue to do it well and continue to contribute to the success of the academy?
- Do you anticipate any issues that are likely to arise?
- If so, what is your strategy for overcoming them?
- What do you feel you can do in your job to contribute to delivering a high standard of service?
- Is there anything about your job role / working at the academy which is worrying you?
- If your work is changing, what skills and competencies will be most important to you in tackling the changes you anticipate?
- What development or training needs can you identify?
- What are your main strengths? Could they be developed further or used more if this could be accommodated within the Trust?
- What could be done to support your development / performance by you, by your line manager, or by others?
- You may be hoping to develop in your job, or have ideas about your career. If so, make a note of points for discussion.

2. Guidance for reviewers

Make sure that you are fully prepared for the planning and review meeting, and you:

- understand the Trust's policy on performance management for support staff;
- have copies of all the relevant documents to hand (e.g. job description, academy improvement plan, copy of this policy);
- have access to any statistical data that both reviewer and employee consider important;
- are able to provide constructive feedback and engage in positive dialogue with the employee;
- are aware of the resources available to support development both within and beyond the academy.

Note, wherever possible documentation to be referred to should be shared in advance of the meeting to enable an informed discussion to take place.

Looking back at the review period:

- review the previous planning & review form / objectives set (including any revisions made during the year);
- review the training, professional development, and support needs documented at the start of the review period, and consider the training, development and support that has been provided against this;
- share information on performance during the year relating to the job role and agreed objectives;
- if not the direct/only line manager, seek input from other manager(s) involved on performance in review period and priorities for next cycle.

Looking ahead to next year:

- consider the priorities for the next cycle / possible objectives to be discussed;
- find out if there are any team or whole academy objectives which need to be included;
- review the notes on objective setting below.

Objective setting

The setting and agreement of objectives is fundamentally important and is a key factor underpinning the effective operation of the performance management process.

Objectives should be “SMART”

Specific	It should clearly & concisely set out expectations and what needs to be achieved.
Measurable	Objectives need to be capable of measuring performance (the inputs) as well as the results (the outputs). What are the milestones (inputs) do you expect to see completed? What will success look like and how will it be measured / assessed? How will you know if it has or hasn't been achieved? How will you assess the contribution made towards achieving a target? It is important to be clear about this at the outset.
Achievable	There must be a reasonable expectation that the employee will be able to achieve the objective, but at the same time it should stretch / challenge the employee to improve their performance.
Relevant & Resourced	The objectives must be relevant to the role performed by the reviewee and should also reflect their level of experience and professional aspirations. Equally, they should underpin the Academy's priorities and plans, and contribute to the improvement of an Academy's educational provision and performance. They should also be set on the understanding that the required resources will be available.
Relevant	The objectives must be relevant to the role performed by the employee and should also reflect their level of experience and professional aspirations. Equally, they should underpin the academy's priorities and plans, and contribute to the improvement of an academy's educational provision and performance.
Time-bound	The date by which the objective (or interim milestone) is to be completed should be documented.

Annex 3

Our co-operative values

- **Self-help:** we help people to help themselves.
- **Self-responsibility:** we take responsibility and answer for our actions.
- **Democracy:** we give our members a say in the way we run our business.
- **Equality:** no matter how much money a member invests in their share account, they have one vote.
- **Equity:** we carry out our business in a way that is fair and unbiased.
- **Solidarity:** we share interests and common purposes with our members and other co-operatives.

Our ethical values

- **Openness:** no one's perfect and we won't hide it when we're not.
- **Honesty:** we are honest about what we do and the way we do it.
- **Social responsibility:** we encourage people to take responsibility for their own community and work together to improve it.
- **Caring for others:** we regularly fund charities and local community groups from the profits of our businesses.

Ways of Being Coop

The four ways are how the Co-op explains behaviour in line with the above values; they are how we can check we've got the right behaviours of our values in action.

- **Do what matters most:** we keep things simple – with our pupils & students at the heart of what we do
- **Be yourself, always** – we're free to be ourselves at work – because that's what makes us different
- **Show you care** – we care about our pupil/students, communities and most of all each other
- **Succeed together** – we're all about co-operation

Manager guidance on managing under-performance

This guidance is intended to help support managers who are worried about an employee's performance, and gives additional detail about how to support the employee through usual performance management procedures.

Any concerns regarding an employee's performance should be discussed with them at the earliest opportunity, and Managers should try to resolve minor issues informally and in a supportive manner. It is quite possible that the employee is aware of the shortcomings, and is also worried about the situation.

Employees should receive constructive feedback on their performance throughout the year, as part of the Performance Management process. Feedback should highlight particular areas of strength as well as any areas that may require support.

A conversation should take place promptly if it is noticed that an employee is not performing certain aspects of their job satisfactorily. Delaying or doing nothing may cause the performance problem to escalate and cause delay in providing the necessary support to the individual.

The employee should be advised to seek professional advice from their trade union representative; the Trust acknowledges that this may help to expedite resolution. However, there is no right to be accompanied to meetings taking place as part of the usual performance management process.

It should be recognised that under-performance may be related to issues outside the employee's direct control and may be symptomatic of underlying work problems or other personal issues. Particular care should be taken when disability or health issues are involved, or any other issues arising in relation to characteristics protected by the Equalities Act, and advice should be sought from HR / Occupational Health Service as appropriate.

Where there are concerns about any aspects of an employee's performance, the manager should meet with them to:

- Raise the issue, giving clear feedback about the nature of the concerns
- Give the employee the opportunity to comment and discuss the situation and provide information on any issues impacting on it
- Agree any support (e.g. coaching, mentoring, structured observations, training, professional courses, referral to support agencies) that will be provided to help address those specific concerns
- Make clear how, and by when, progress will be reviewed (it may be appropriate to revise objectives and/or agree other appropriate & clear targets, and it will be necessary to allow sufficient time for improvement. The amount of time will need to reflect the seriousness of the concerns)
- Depending on the situation, explain the implications and process if no – or insufficient – improvement is made (i.e. this could include entry in to the formal capability procedure).

It is recommended that a note of the discussion and agreed actions is confirmed in writing (e.g. by email).

If the discussion outlined above results in the required improvement, it would be helpful to 'draw a line under it' by confirming that the issue(s) have been addressed and the performance management process will continue as normal.

Where this informal approach has been tried and has not succeeded in improving performance, or where the underperformance is more serious, please refer to the Trust's Capability Procedure.