

The Auriga Academy Trust

Performance Management Policy for Support Staff

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1. Scope

This performance management policy applies to all support staff employed by The Auriga Academy Trust.

This procedure does not apply to:

- Support staff in their probationary period or
- Teachers (there is a separate Performance Appraisal Policy for Teachers).

The recognised trade unions have been consulted.

2. Purpose

This policy will assist the CEO, Headteachers and school and Trust management teams to develop their support staff. It sets out a framework for clear and consistent assessment of the overall performance of support staff and for supporting their development needs. For support staff working with pupils, development needs will be within the context of the school development plan and their own occupational standards and job description. For school and Trust administration and site staff development needs will be relevant to their role and the operational efficiency of the Trust / school.

The aim is to support each individual member of support staff to improve job satisfaction and performance with a view to

- enable staff to use and develop their skills as effectively as possible in their role.
- enable all staff to make their full contribution to the achievement of school and Trust goals.
- possible career development within the Trust or elsewhere.

3. Role of the Reviewer

In this policy, the term **“reviewer”** is a reference to the person carrying out the performance management review and the term **“reviewee”** is a reference to the member of staff being reviewed.

The process will be conducted by the reviewer with the reviewee. The reviewer should ideally be the person with line management responsibility for the employee whose performance is being reviewed. Where line management is unclear, the Headteacher (school) / CEO (Trust) should appoint an appropriate reviewer.

At the start of the process, if the reviewee is of the opinion that the reviewer is not suitable, they should submit a written request to the Headteacher / CEO indicating the reasons why they consider the reviewer should be replaced.

The reviewer will be responsible for:

- Scheduling performance meetings (mid-year/end of year reviews)
- Providing feedback on the reviewee's job performance and behaviour
- Clearly identifying work objectives
- Agreeing required standards for both work and behavioural performance
- Agreeing a Development Plan linked to objectives.

The reviewer should take the opportunity, during the annual review, to consider the reviewee's job description and whether it requires updating. If significant changes are made a draft should be submitted to Trust HR (HR@aurigaacademytrust.org.uk) for evaluation.

As well as using the job description as the basis for discussion, copies of previously set targets and objectives, notes from supervision sessions and any other key evidence of achievement from the previous year should be considered alongside.

4. Process

The performance management process should be a positive process. If there are areas of weakness, the reviewer should not wait for the formal review process to address concerns but should address these at the earliest opportunity seeking advice from the school senior management team and Trust HR, where appropriate. There should be no surprises in the review process.

4.1 Planning/Review Meeting

The meeting should be planned in advance with both parties being aware of the date, time and location and enough time allocated for both sides to prepare.

The meeting should be conducted privately in a venue where the meeting will not be disturbed. It must take place during the contracted working hours of the reviewee.

The discussion should be two-way with both sides having an opportunity to fully contribute.

The outcome should be a performance agreement/action plan, which:

- Addresses any outstanding issues from the previous year
- Considers performance against previously agreed objectives
- Sets new objectives for the forthcoming year.

The reviewer should also consider the aspirations of the reviewee, as well as school, Trust and other development plans. Development could also encompass succession planning and providing the skills for promotional opportunities.

4.2 Objectives

Ideally all objectives set, for support staff that work with pupils, should relate back to the school development/improvement plan. However, it is acknowledged that it may be more difficult to establish a direct link between these plans for lower-level posts. For school and Trust administration and site staff objectives will be relevant to their role and be set with regard to the operational efficiency of the school / Trust.

Objectives discussed at the annual performance review should be written down and both parties should sign and retain a confidential copy.

Objectives should be challenging, achievable, time bound, fair and equitable in relation to staff members with similar roles, responsibilities and experience, and should be related to job descriptions and, where relevant, linked to the school development plan. They should take into account the professional aspirations of the staff member and contribute to the progression and performance of the school / Trust.

For some posts it may be more appropriate to set group objectives.

The objectives should, where possible, take into account the 'Common Core of Skills and Knowledge for the Children's Workforce':

- Effective communication and engagement with children, young people, their families and carers
- Child and young person development
- Safeguarding and promoting the welfare of the child
- Supporting transitions
- Multi-agency working
- Sharing information.

The reviewer and the reviewee will seek to agree the objectives but where a joint determination cannot be made the reviewer will make the determination.

At times, it may be appropriate to set objectives that will cover a period of more than one cycle. If this is the case, it will be appropriate to identify milestones towards progress during the initial review.

4.3 Classroom Observation

All classroom-based staff must expect school and Trust leadership to visit the classrooms in which they work as part of their own responsibility for monitoring the quality of pupil learning and experience. These visits will help the school leadership form opinions on how well initiatives and development priorities are being introduced and implemented as well as views on general strengths and areas for development. These visits will also provide opportunities for school leadership to note the performance of individual staff which will contribute to the body of evidence of members of staffs' progress towards their objectives and/or any obstacles that are preventing the member of staff from being successful (e.g. lack of direction from class leader).

The Trust is committed to ensuring that where more formal, focussed classroom observation has been identified as appropriate it will be developmental and supportive. Observations should:

- Be undertaken with professionalism, integrity and courtesy
- Involve objective evaluation
- Be reported honestly and fairly
- Be carried out consistently for all staff
- Involve accurate communication about its purpose and outcome
- Respect the confidentiality of the information gained
- Be conducted in the best interests of the pupils at school.

The feedback from the observation should:

- Identify the positive points arising from the lesson
- Provide constructive advice on any areas for improvement.

Verbal feedback by the observer should be given **no later than the end of the next school day**. The observer should complete a written record of the observation, feedback and any subsequent follow up work. The record of the observation should be made available to the reviewee **within 5 working days of the observation** and the reviewee can provide any comments on the written record.

See Observation Form Template (**Appendix 4**)

The arrangements for classroom observation will be included in the objective setting and will:

- Include the amount of observation
- Specify its primary purpose
- Specify the aspects of performance to be assessed
- Specify the duration of the observation
- Specify when, during the performance appraisal cycle, the observation will take place and
- Specify who will conduct the observation.

4.4 Performance Management Cycle

The performance management process is on an annual cycle. The following timing applies:

September to August Appraisal Cycle (mid-year review February)	HLTAs Therapy Staff Site Staff Trust Administration staff
April to March Appraisal Cycle (mid-year review November)	Teaching Assistants Play Leaders Family Partnership Workers School Administration Staff

Where an employee commences employment part way through a cycle, the first review period should be for the period that will allow them to be placed on the same cycle as the other support staff in the following year.

4.5 Learning and Development

After the review, each employee (or group of employees) should have a target specific to their own Continuing Professional Development (CPD) and plan highlighting the development required by staff to achieve the targets set.

It is important to remember the CPD can happen through a variety of means, for example:

- Team development events
- Management or peer coaching
- Mentoring
- Shadowing
- Use of ICT learning packages
- Short-term secondments/placements
- Specific CPD to maintain professional standing and knowledge
- Participation in internally or externally provided training activities.

The Trust will ensure, in the budget planning, that appropriate resources are made available in the school / Trust budget for any training and support agreed for support staff, in liaison with the School / Trust CPD Leader / Coordinator.

4.6 Feedback and Concerns during the Performance Management Cycle

Feedback should be constructive and approached in a sensitive manner. Feedback should be both:

- **Motivational** – identifies what is working well and has a positive impact in order to encourage.
- **Developmental** – highlights performance and behaviours that have a negative impact and encourage change.

Feedback should be ongoing throughout the formal annual review, mid-year review, any regular supervision meetings and informal discussions. Nothing discussed in the performance review meeting should come as a surprise to the reviewee.

Where there are concerns about any aspect of the reviewee's performance, the reviewer should meet with them formally to:

- Give clear feedback about the nature and seriousness of the concerns
- Give the employee the opportunity to comment and discuss the concerns
- Agree any support (e.g., coaching, mentoring, structured observations) that will be provided to address those specific concerns
- Make clear how, and by when, the reviewer will review progress. It may be appropriate to revise objectives and modify support, and it will be necessary to allow sufficient time for improvement. The amount of time is up to the school / Trust but should reflect the seriousness of the concerns and should be no more than 30 working days.
- Explain the implications and process if no or insufficient improvement is made.

When the progress is reviewed, if the reviewer is satisfied that the reviewee has made, or is making, sufficient improvement, the performance management process will continue as normal, with any remaining issues continuing to be addressed through that process. If the reviewer is not satisfied with progress, consideration can be given whether to commence the Trust's **Capability Procedure** (see Section 5 below).

4.7 Monitoring and Review Process

Annual meeting

Each employee will have a formal annual meeting with their line manager (or other designated senior staff member). Objectives set should be specific, measurable, achievable, realistic and time bound (SMART) and they should relate to:

- The whole school / Trust
- The employee's work-related duties
- The employee's own continual professional development.

The monitoring and review process should include regular supervision meetings to be set at a timescale appropriate to the school / Trust.

Mid-year review

A mid-year review can take place 6 months after the main review has taken place. Any notes or other paperwork from this meeting should be maintained by the reviewer (confidentially) and used as ongoing work in progress. However, it is recognised that for some groups of staff, regular supervisory meetings may not be practical.

4.8 Appeals

If the reviewee is unhappy with any of the entries in the planning and review statement or the outcome of any review, they should first seek to address the situation with the reviewer. If they continue to remain aggrieved, they should invoke the Trust's **Grievance Policy & Procedure**.

5. Transition from Performance Management to Formal Capability Procedures

5.1 Commencing the Formal Capability Procedure

If the reviewer is not satisfied with the progress, they will notify the reviewee in writing that the performance management process will no longer apply and that their performance will be managed under the Trust's formal **Capability Procedure**.

5.2 Reverting to the Performance Management Process from Capability

The Capability Procedure will end if the Headteacher is satisfied that the reviewee is at the desired standard of performance and the performance management process will recommence.

Warnings within the Capability Procedure are time limited, for example:

- 12 months for a written warning and
- Two years for a final written warning.

Where a warning has been issued and there are further concerns around the employee's performance within the period of warning, the "Feedback and Concerns during the Performance Management Cycle" (Section 4.6 above) must be followed before reverting to the Capability Procedure again. If it becomes necessary to revert to the Capability Procedure, it is expected that the next stage of the Capability Procedure will apply.

6. Checklist for Reviewer and Reviewee

6.1 Before the Meeting

REVIEWER:

- Send memo (**Appendix 1**) to reviewee highlighting meeting with the reviewer
- Book venue (private, enabling confidentiality and free discussion)
- Gather evidence e.g. notes of previous meetings/supervisions, job description, previously agreed objectives
- Ask the reviewee to complete the relevant sections of the [Performance Management Review Form \(Appendix 2\)](#) and consider areas for new [objectives to be discussed at the meeting](#)
- Recognise and encourage the sharing of good practice
- Ensure that you consider the reviewee's achievements in light of any known disabilities and any reasonable adjustments you have made to support them in work
- Undertake the review using copies of the forms in order to evaluate performance against objectives, behaviours, strengths and weaknesses and any underlying issues
- Consider what objectives would be appropriate for next cycle and what success criteria for them would look like

- Ensure that you have considered disability, in identifying potential objectives
- Consider development needs and how they may best be met.

REVIEWEE:

- Complete the relevant sections of the [Performance Management Review Form \(Appendix 2\)](#)
- Prepare evidence for review meeting e.g. notes from previous meetings/supervisions, evidence relating to achievement against objectives, areas of success/failure, areas for continued development, and their thoughts on future career
- Record any thoughts relating to possible objectives that may be appropriate for next year in context of service requirements, school / Trust priorities, including the School Development/Improvement Plan and key policies e.g. on equality and diversity, health and safety and their own personal aspirations.

6.2 During the Meeting

REVIEWER:

- Consider reviewee's [Performance Management Review Form](#)
- Identify areas of clear agreement, focusing initially on positive outcomes
- Discuss other areas and clearly identify the basis on which you have made your assessment, giving the reviewee an opportunity to respond to the issues being raised
- Identify no more than 3 key objectives for the reviewee and agree how a successful outcome would be measured
- Agree priorities for development and who will take initial action
- Schedule the next meeting

6.3 Post Meeting

REVIEWER:

- Complete the [Performance Management Review Form](#) within one week and pass to reviewee for additional written comments if needed
- Ensure both you and the reviewee sign the form
- Pass form and any additions to Headteacher
- Provide copies of the final signed form to the reviewee in a confidential manner.

REVIEWEE:

- Read through final [Performance Management Review Form](#) carefully and ensure that they are clear about contents and objectives. If unsure seek clarification.

7. Record Keeping

It is considered appropriate to make draft notes during the appraisal meeting process as an aide memoir and to translate this onto a formal typed document. The formal copy should be signed and retained by both parties.

The Headteacher / CEO, the reviewer and the reviewee and Trust HR should be the **only** staff who have access to paperwork or computerised records. Care should therefore be taken to ensure that paperwork is stored or disposed of securely (any shared storage whether electronic or physical should not be used). 'Paperwork' / [electronic copy](#) will be stored in the reviewee's personnel file managed by Trust HR (HR@aurigaacademytrust.org.uk). The reviewee will be given their own copy.

The Governing Board / Trust Board and the Headteacher / CEO will ensure that all written performance management records are retained and stored in line with their Retention & Disposal Policy and Data Protection requirements.

8. Forms

8.1 Memo: Support Staff Performance Management Review (Appendix 1)

The reviewer should complete this and send to the reviewee within **5 working days** of the performance management review meeting.

8.2 Performance Management Review Form (Appendix 2)

Notes for REVIEWEE:

Prior to their Performance Management Review Meeting, for each Objective listed the **Reviewee** should complete the following sections.

- Please describe your actions to achieve this objective:
- Please describe any barriers to achieving this objective:
- What training / development did you have to support you this objective?
- Other notes / comments:

The Reviewee should also take the opportunity to list any particular contributions that they would like to be recorded in your appraisal.

Notes for REVIEWER:

Assessment summary of performance against Objective

This should be completed by the **Reviewer** based on the discussion between the reviewer and reviewee during the meeting. The form should be completed either at the performance management meeting or from notes taken at the meeting and agreed by the reviewee. Any disagreements should be brought to the attention of the Headteacher / CEO by the reviewer.

Reviewer Overall Assessment of Performance

The **Reviewer** should use this section to summarise their discussion with the reviewee and give an overall assessment of performance.

Objective setting for the next cycle

This should also be completed by the reviewer either at the performance management meeting or from notes taken at the meeting. Where observation is appropriate, the terms of that observation should be identified. Any disagreements should be brought to the attention of the Headteacher by the reviewer. It should be signed by the reviewee and the reviewer **within 10 working days** of the meeting.

8.3 Performance Management Mid-Year Review Form (Appendix 3)

This form is to be completed in the same way as the Performance Management Review Form.

8.4 Sample Lesson Observation Form (Appendix 4)

Appendix 1: Memo: Support Staff Performance Management Review

(To be sent via email 5 working days before the performance management meeting)

Dear X,

Your Performance Management *review/ Mid-year review* (delete as appropriate) is scheduled to take place on **DATE** at **TIME** on **LOCATION**. Please note the meeting may last up to an hour.

Your reviewer (performance manager) is **X, JOB TITLE**.

Please ensure you bring last year's Performance Management Planning and Review Form and your completed Self-Evaluation Sheet, as these will be used as the basis of the meeting discussion.

Please consider 3 targets for the next performance management cycle based on your assessment of your previous targets.

Your targets should:

- Be linked to the school / Trust development / improvement plan
- Be specific to your work-related duties.
- Enable you to explore your own aspirations and professional development

Appendix 2: Performance Management Review Self-Evaluation Form

Your appraisal meeting provides you with a valuable opportunity to discuss your role and aspirations with your line manager. The Self Review Form is an important part of the appraisal process enabling you to share your thoughts about yourself, your role and the school community. Please complete the form electronically and return it to via email your reviewer (performance manager) at least **2 working days** ahead of your meeting.

REVIEWEE Name:	School and Job Title:
REVIEWER Name:	School and Job Title:

REVIEW of OBJECTIVES for 20XX/XX:

Reviewee: Please detail below your agreed objectives for the past year and describe your actions to achieve each objective. If you haven't met an objective consider why this may be the case. If you have met an objective consider where you think you have achieved particularly well.

OBJECTIVE 1: <i>(please detail)</i>
Please describe your actions to achieve this objective: <i>(To be completed by Reviewee)</i>
Please describe any barriers to achieving this objective: <i>(To be completed by Reviewee)</i>
What training / development did you have to support you this objective? <i>(To be completed by Reviewee)</i>
Other notes / comments: <i>(To be completed by Reviewee):</i>
Feedback from Classroom Observation (if applicable): <i>(To be completed by Reviewer)</i>
Assessment Summary of Performance against Objective: <i>(To be completed by Reviewer)</i>
OBJECTIVE 2: <i>(please detail)</i>
Please describe your actions to achieve this objective: <i>(To be completed by Reviewee)</i>
Please describe any barriers to achieving this objective: <i>(To be completed by Reviewee)</i>
What training / development did you have to support you this objective? <i>(To be completed by Reviewee)</i>
Other notes / comments: <i>(To be completed by Reviewee):</i>

Feedback from Classroom Observation (if applicable): <i>(To be completed by Reviewer)</i>
Assessment Summary of Performance against Objective: <i>(To be completed by Reviewer)</i>
OBJECTIVE 3: <i>(please detail)</i>
Please describe your actions to achieve this objective: <i>(To be completed by Reviewee)</i>
Please describe any barriers to achieving this objective: <i>(To be completed by Reviewee)</i>
What training / development did you have to support you this objective? <i>(To be completed by Reviewee)</i>
Other notes / comments: <i>(To be completed by Reviewee):</i>
Feedback from Classroom Observation (if applicable): <i>(To be completed by Reviewer)</i>
Assessment Summary of Performance against Objective: <i>(To be completed by Reviewer)</i>

OTHER PERFORMANCE HIGHLIGHTS:

Are there any particular contributions that you would like to be recorded in your appraisal? <i>(To be completed by Reviewee)</i>

OTHER MATTERS for DISCUSSION:

What areas of your present work would you like to improve upon? <i>(To be completed by Reviewee)</i>
Are there any areas specific to your job you would like additional support with or would like additional training in? <i>(To be completed by Reviewee)</i>
Are there any new skills or competencies you would like to develop in the coming year? <i>(To be completed by Reviewee)</i>
Are there any other matters you would like to discuss? <i>(To be completed by Reviewee)</i>

REVIEWER OVERALL ASSESSMENT OF PERFORMANCE:

<i>(To be completed by Reviewer)</i>

OBJECTIVES for 20XX/XX CYCLE:

OBJECTIVE 1: <i>(please detail)</i>	
Link to School Development Plan / Trust Operational Objective:	
Success Criteria:	
Support / learning and development required:	
OBJECTIVE 2: <i>(please detail)</i>	
Link to School Development Plan / Trust Operational Objective:	
Success Criteria:	
Support / learning and development required:	
OBJECTIVE 3: <i>(please detail)</i>	
Link to School Development Plan / Trust Operational Objective:	
Success Criteria:	
Support / learning and development required:	

Reviewee Signature:	Date:
Reviewer Signature:	Date:

Appendix 3: Performance Management Mid-Year Review Form

OBJECTIVES for 20XX/XX CYCLE:

OBJECTIVE 1: <i>(please detail)</i>
Please summarise the progress made towards achieving the agreed objectives:
Please outline any barriers/amendments required to objectives in order for them to be achieved:
Is there any further support/development required? If so, please record here:
OBJECTIVE 2: <i>(please detail)</i>
Please summarise the progress made towards achieving the agreed objectives:
Please outline any barriers/amendments required to objectives in order for them to be achieved:
Is there any further support/development required? If so, please record here:
OBJECTIVE 3: <i>(please detail)</i>
Please summarise the progress made towards achieving the agreed objectives:
Please outline any barriers/amendments required to objectives in order for them to be achieved:
Is there any further support/development required? If so, please record here:

OTHER PERFORMANCE HIGHLIGHTS:

<p>Are there any particular contributions that you would like to be recorded to date? <i>(Please list)</i></p>

Reviewee Signature:	Date:
Reviewer Signature:	Date:

Appendix 4: Sample Lesson Observation Form

Support Staff:	Observer:	Date and time:
Year group:	Subject (if applicable):	Number of pupils:
Summary of main points:		
Key strengths:		
Areas for development:		