

# HINTON ST GEORGE CHURCH OF ENGLAND PRIMARY SCHOOL

*'Let Your Light Shine'*



## **POLICY FOR APPRAISING THE PERFORMANCE OF NON-TEACHING STAFF**

Originally Adopted: December 2023

Frequency of Review: Annually

Next Review Date: December 2024

Signed \_\_\_\_\_

Date \_\_\_\_\_

on behalf of the Governing Body

# **Hinton St George C of E Primary School**

This Policy should be taken and used as part of Hinton St George Church of England School's overall strategy and implemented within the context of our vision, Instrument of Government aims and values as a Church of England School.

This Policy statement has been formally adopted by the governing body, in consultation with the headteacher, and will be reviewed at the frequency recorded on this cover page.

## Model Policy for Appraising the Performance of Non-Teaching Staff

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<b>Author</b>	HR Advisory – Support Services for Education (SSE)
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<b>Effective Date</b>	December 2023
<b>Consultation</b>	This Policy has been prepared and agreed in consultation with the recognised Somerset County Trade Unions. As a result schools are only required to consult individually prior to the adoption of the appraisal policy if they are making amendments. NOTE: You are not required to consult on the whole appraisal policy each year (although you may wish to do so), you are only required to consult on any changes that were not formally adopted in the previous policy.

### CONTENTS

- [Purpose](#)
- [Application of the Appraisal Policy](#)
- [The Appraisal Period](#)
- [Appointing Appraisers](#)
- [Setting Objectives](#)
- [Reviewing Performance](#)
  - [Evidence](#)
  - [Development and Support](#)
  - [Feedback](#)
- [Annual Assessment](#)
- [Staff Experiencing Difficulties](#)

- [General Principles Underlying this Policy](#)
  - [ACAS Code of Practice on Disciplinary and Grievance Procedures](#)
  - [Consistency of Treatment and Fairness](#)
  - [Sickness](#)
  - [Grievances](#)
  - [Confidentiality and Professional Relationships](#)
  - [Monitoring and Evaluation](#)
  - [Retention](#)

[Appendix 1 – Appraisal Planning & Review Statement](#)

[Appendix 2 – Agreed Appraisal Report](#)

## **MODEL POLICY FOR APPRAISING THE PERFORMANCE OF NON-TEACHING STAFF**

The Governing Body of Hinton St George C of E Primary School adopted this policy on 14<sup>th</sup> December 2023 following consultation with the recognised professional associations and trade unions at County level.<sup>1</sup>

It will be reviewed in a year's time, during the autumn term of the 2024/25 school year.

### **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 school's plan for improving educational provision and performance, and the relevant standards expected of their role.

The appraisal procedure will be used also 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 (Section 14b Guidance for Schools).

### **APPLICATION OF THE APPRAISAL POLICY**

This policy applies to all non teaching staff employed at the school 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 school 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.

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<sup>1</sup> This model policy was the subject of consultation with the recognised teaching unions/professional associations at County level and is offered to schools and academies for adoption. Any local amendment of this model will require further consultation with the recognised unions.

## **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 at the school part-way through a cycle, the Headteacher shall determine the length of the first cycle for that individual, with a view to bringing his/her 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 part-way through a cycle, the Headteacher 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, 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<sup>2</sup>, 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 school's/academy'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 school will operate a system of moderation to ensure that all appraisers are working to the same standards. Objectives will be

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<sup>2</sup> Where an objective is measurable, due regard should be paid to the reasonableness of any numerical targets identified.

moderated across the school to ensure that they are consistent. Should the objectives not be agreed, the final decision on allocation of objectives rests with the Headteacher.

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 each individual are intended to contribute to the school's plans for improving the school's educational provision and performance and improving the education of pupils attending the school 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;
- the 'pupil voice' where pupil comments are systematically gathered by school leaders in assessing the quality of teaching and learning; and
- 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 school 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 school improvement priorities and to the on-going professional development needs and priorities of individual staff.

The school's CPD programme will be informed by the training and development needs identified as part of the appraisal process. The Governing Body will ensure in the budget planning that, as far as possible, resources are made available in the school budget 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 Governing Body 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 school to achieve its 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 (eg 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 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 2](#)). 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

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 work place 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), 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 (Section 14b) 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.

Further guidance related to the processes around non-teaching staff experiencing difficulties, managing meetings and providing support and transitioning between stages is available in guidance for schools Section 5k - Non-Teaching Staff Experiencing Difficulties Guidance.

## **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 Governing Body 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 school'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 s/he had more than 1, each of her/his 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 discharge her/his 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 Governing Body 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 and Governing Body to quality-assure the operation and effectiveness of the appraisal system. The Headteacher 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 Governing Body and Headteacher will monitor the operation and effectiveness of the school's appraisal arrangements.

The Headteacher will provide the Governing Body with a written report on the operation of the school's/academy's appraisal and Improving Individual Performance policies annually. The report will not identify any individual by name.<sup>3</sup>

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 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 Governing Body and Headteacher will ensure that all written appraisal records are retained in a secure place for 6 years and then destroyed.

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<sup>3</sup> 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.

**APPRAISAL PLANNING & REVIEW STATEMENT**

**Performance review – Preparation Form**

**Postholder:**

**Reviewer:**

**Job Title:**

**Date of review:**

**Preparation:**

Preparation is essential if you are to gain maximum benefit from your meeting. You should participate by reviewing your own performance, considering both strengths and areas for development.

Please take some time to prepare for the review by completing this form and passing a copy to your designated reviewer at least 3 days before the meeting. This will help ensure that all significant areas are considered.

1. What were the objectives or action items agreed at your last performance review?

2. How far have these objectives been achieved? What has helped you to achieve the objectives? If they have not been achieved, what do you feel are the main reasons for this?

3. What parts of your role have given you the greatest satisfaction in the past year and why?

4. What parts of your role have given you the least satisfaction in the past year and why? Describe any areas where you feel that you may not have achieved all that you or your Line Manager may have wished.

5. Are there any special circumstances or difficulties that may have affected your performance during this review period? Are they still a cause for concern? If so, do you have any suggestions about how they could be resolved?

6. Have you taken on any new/ additional responsibilities during the review period? How do you feel you have managed this?

7. What training and development have you undertaken during the review period to update and develop your knowledge and skills? Please comment on opportunities you have had to practice skills gained through training.

8. What are your aspirations for the future? How would you like to see your job/career develop and how can the school/academy help you to achieve this?

9. It is intended that objectives will be negotiated at the meeting. However, at this preparation stage do you have any initial thoughts or ideas about key development areas?

10. Support and training needs will be discussed at the meeting. However, at this preparation stage do you have any thoughts about future training needs etc?

11. Are there any health & safety/ safeguarding/ equalities issues that you would like to raise?

**AGREED APPRAISAL REPORT**

**Postholder:** .....

**Reviewer:** .....

**Review Period:** .....

<p><b>1. Recognition of achievements - The reviewer should use this section to outline progress towards objectives and key achievements since the last review.</b></p>
Objective 1:
Objective 2:
Objective 3:
Other achievements:

<p><b>2. Main priorities, in terms of tasks and responsibilities, agreed for the next review period. This should include agreed objectives and timescales.</b></p>	
Objective 1:	Timescale for completion
Objective 2:	Timescale for completion
Objective 3:	Timescale for completion



3. **Any other development needs not covered above?**

**Postholder comments:**

Signed.....

Date.....

**Reviewer comments:**

Signed.....

Date.....