

Dream Believe Achieve

SUPPORT STAFF PERFORMANCE MANAGEMENT POLICY

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Dream Believe Achieve

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A Detailed Guide to the Performance Appraisal and Development Programme (PADP) for School Support Staff

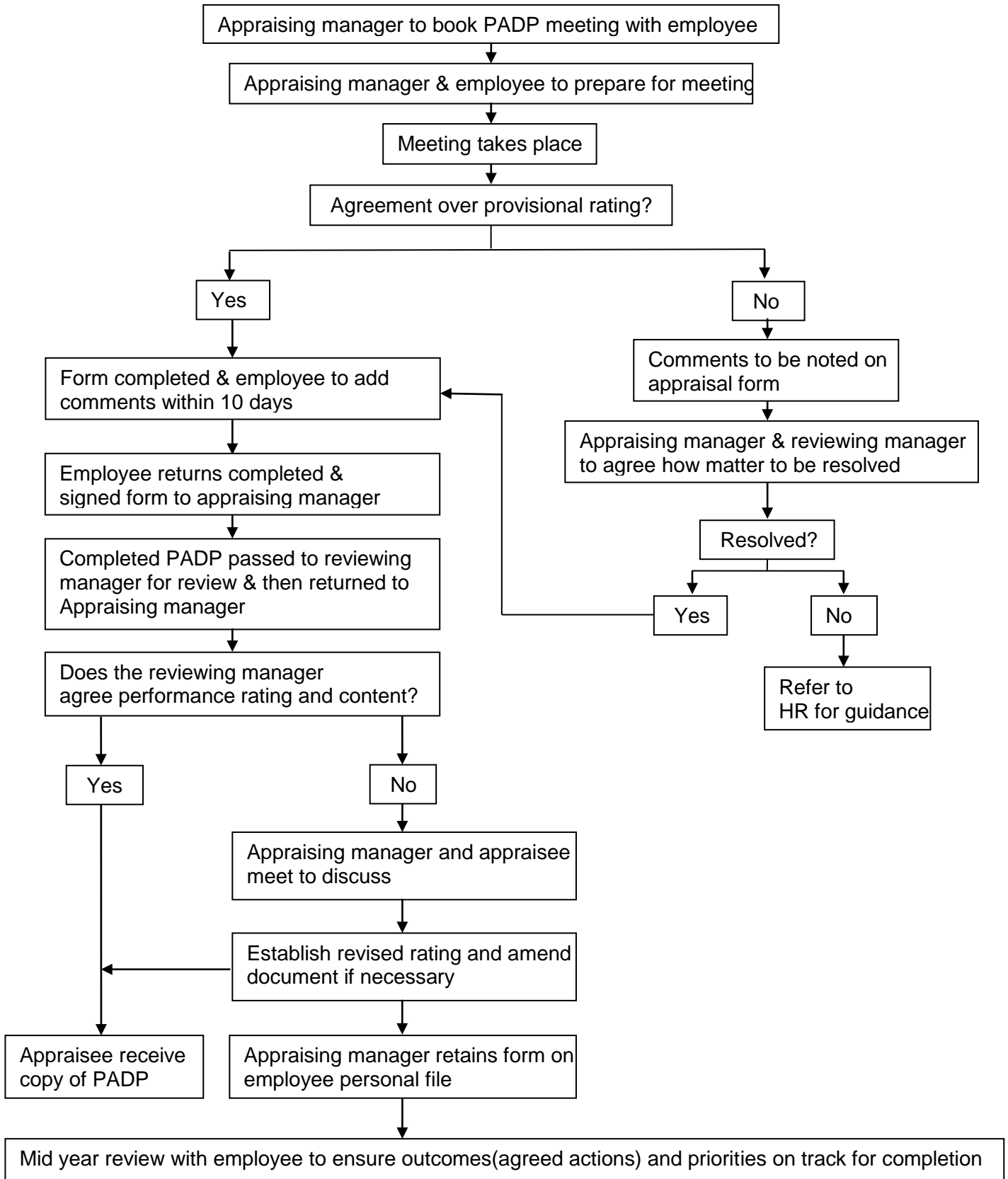
This guidance explains what you need to do to ensure that you have an effective and productive performance appraisal and development programme.

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PADP Process



1 An introduction to PADP

1.1 Making the most of the PADP

The primary purpose of schools and the council is to meet the needs and expectations of Northamptonshire citizens and communities, for now and for the future. The performance appraisal and development programme will enable you and your school to:

- review and enhance your performance and behaviours;
- provide a connection between your performance and your School Development Plan;
- share the successes you have had in your role;
- identify your outcomes to achieve success in the next 12 months; and
- identify and address development needs.

1.2 What is a performance appraisal and development programme meeting?

A performance appraisal and development programme (PADP) meeting is:

- a discussion between you and your appraising manager about your performance and development;
- a way of assessing your performance and behaviours;
- an opportunity for you to receive constructive feedback on your performance
- a two-way experience that gives both you and your appraising manager an opportunity to raise any concerns or challenges;
- about setting outcomes for the next 12 months and evaluating performance on your previous outcomes over the last 12 months; and
- an opportunity to consider your training and development needs, as well as your career aspirations, and how the school can help you achieve these.

In any 12 month period an employee will have a full appraisal and a mid-year review meeting. We also strongly recommend regular 1:1's.

1.3 Who does PADP apply to?

PADP applies to all support staff in schools, where the school has chosen to follow the council's PADP process.

It does not apply to:

- Employees who have a contract with the council of less than 6 months;
- Teachers who need to meet the standards of the teacher's performance requirement process.

For those on maternity leave, the appraisal meetings should be done before the individuals go on maternity leave or when they return in terms of assessing outcomes for the period.

For individuals on long term sick, on their return to work a performance appraisal can be carried out against the outcomes, a rating can then be applied and back dated.

2 The PADP Meeting

2.1 When should the PADP meeting be held?

Ideally PADP's should be completed between April – June.

All mid-year reviews should be completed between October – November.

As the PADP is a scheme that is managed across the whole of the county council (i.e. schools and non-schools) consistency of practice has to prevail and therefore timescales co-ordinated. Contractually the increment is due to employees from 1st April.

2.2 What do I need to do to prepare for the PADP meeting?

As your PADP meeting will be a two-way discussion, you need to plan what you want to say at the meeting.

The meeting will usually be for about an hour. You need to plan to ensure that this time is used effectively and efficiently. You will need to:

- (if your school is using the 360 feedback option) seek the views of your colleagues about their opinion of your work;
- gather any information you need about your performance and behaviour; and
- prepare the questions that you would like to ask.

2.3 What are the PADP forms and what is included in each one?

There are two PADP forms:

- Form A is for use by all staff with the exception of *agreed* front line staff *
- Form B is for *agreed* front line staff only

The following staff have been identified as those who will participate in the streamlined process and as a result these appraisees will use 'FORM B' during their appraisal meeting.

- Cleaning Staff
- Cook
- Assistant Domestic Assistant
- Handy Person
- Kitchen Domestic
- Lunchtime supervisors
- Teaching Assistant Level 1
- Curriculum & Resource Support Level 1
- Driver (Generic)

The forms are designed to be downloaded from the schools extranet as Word documents so that each section can be expanded or contracted to reflect the nature of the PADP discussion.

Form A is divided into the following sections:

- **The Last 12 Months:** this includes a review of the job role; the outcomes set; 360 feedback and any learning undertaken.
- **The Next 12 Months:** this includes school priorities; outcomes to be undertaken; career ambitions; learning and development needs and a personal development plan.
- **Summary:** this includes agreed actions and an overall performance rating.

What will be included in the review of the last 12 months?

In the review of the last 12 months you should:

- record what has gone well - some key successes;
- record what went less well and what suggestions there are for improvement (may feed into outcomes and learning and development plan);
- review outcomes set last year and actual performance;
- raise any successes/comments/issues from the 360-degree feedback (if your school has chosen to include this);
- review of learning and development activity undertaken; and
- if relevant, raise problems, difficulties and discuss solutions.

What will be included looking forward for the next 12 months?

For the next 12 months you should:

- identify and discuss your school priorities so you understand how you can contribute to these through your job role;
- agree outcomes
- discuss your future career ambitions and identify the support you require in helping you get there; and
- agree your personal development plan

What should be included in the summary?

In the summary you should:

- summarise your overall performance (including behaviours);
- agree actions to be taken for the coming 12 months;
- agree an overall performance rating that reflects your performance and behaviour over the past 12 months
- sign the paperwork if you are happy and agree with what has been discussed.

Form B identifies key tasks expected within the role and if these have been done, additional achievements and agreement of actions for the next 12 months. The ratings section should also be agreed and completed.

3 What is 360-degree feedback? (optional in schools)

360-degree feedback is where you assess yourself and ask others to assess you on your performance and behaviours. It is your opportunity to get feedback on your behaviours from a range of colleagues, creating a holistic and broad perspective of what you have achieved and how you have achieved it.

Feedback should be based on performance and behaviour, not on character.

The 360 feedback form (Form C) is available on the schools extranet.

3.1 Who does 360 feedback apply to?

360 degree feedback is optional in schools.

If your school decides to include 360 feedback it will apply to all support staff with the exception of *agreed* front line staff. However if front line staff would like to request feedback on their performance and behaviours they are welcome to request this from their colleagues to help inform their PADP review.

3.2 Who should I ask for 360 feedback?

The appraising manager should create a list of people to approach for 360 feedback on your behaviour. Appraising managers must ensure that they engage with employees and agree who the respondents are in the recommended categories below. The agreed list of respondents should number 2 or 3 and must include at least one of each of the following:

- Line manager
- Peer/Colleague(s)

And for those with line management or supervisory responsibility, two or more:

- Direct report(s)

When choosing respondents appraising managers need to make sure that they choose people who have worked with the appraisee in the last year, and be known to both parties.

This list should be shared with you prior to feedback being sought. If you do not agree with the list of respondents this should be noted on your appraisal form for escalation to the reviewing manager.

It is the responsibility of the appraising manager to request and obtain feedback from the identified respondents, and where necessary, to request further information if the feedback received does not provide sufficient evidence to justify the ratings given by the respondent. Managers should also ensure feedback is based on performance and behaviour, not on character.

Any staff member who is requested to provide feedback must do so within the timescales requested and provide sufficient evidence to justify the ratings given.

3.3 Completing the self-assessment as part of the 360 feedback

To complete the 360 form as a self-assessment you need to either save the 360 feedback form (Form C) onto your PC or ask your head teacher/appraising manager to print it out for you.

Put your name on the form and tick the box that states 'Self Assessment'.

Now rate how you think you perform or behave for each statement.

Once you have completed all of the statements you must return the form to your appraising manager – your self assessment will then be compared against the feedback received from others.

3.4 What should I consider when giving feedback?

When giving feedback it should:

- be clear, balanced, specific and with evidenced examples;
- focus on the employee's strengths, as well as areas for improvement;
- be based on performance and behaviour, not on character;
- be constructive; and
- if you have a difficult message to give focus on what they should do rather than what they shouldn't do. For example, you could start the solution with:
 - "it would be helpful if you could...."
 - "I would like to see more of..."
 - "You could benefit by..."

Any respondent should ensure that what they write about a colleague is balanced, fair and professionally focussed. Any comments on weaknesses or areas for development should be backed up by factual evidence and written in a constructive and balanced way. No respondent should write anything about a colleague that they are not prepared to be accountable for. Comments that could infer a more serious capability/performance or misconduct issues should be dealt with outside of the PADP process and advice and guidance can be sought from your line manager and/or the HR Advisory team on such matters.

3.5 As the appraisee, can I request to view the 360 feedback prior to the PADP meeting so I have time to reflect on what has been said?

We recommend that the appraising manager delivers the 360 feedback in a 1:1 discussion. Forms should not be sent out without a 1:1 discussion taking place.

It could be that a pre-meet takes place for the appraisee and appraiser to discuss the 360 feedback prior to the annual PADP meeting.

4 How should the outcomes for the forthcoming year be set?

Outcomes should be developed together during the meeting. They should describe what you are setting out to achieve and how you will achieve this.

You need to feel confident that you can deliver the outcomes, which should be appropriate for you and your job.

Only a small number of key outcomes need to be developed:

- there should be a minimum of three outcomes;
- there should be a maximum of 8 outcomes.

Ensure that the outcomes are challenging and reflect your performance and required behaviours.

Equality; Inclusion and Diversity

This field is an optional theme for support staff in schools. Schools may choose to include a key accountability or responsibility in relation to Equality; Diversity and Inclusion. This should be relevant to the work that they do and should focus on how they can further the equalities agenda of the School and Council.

If your school is including these outcomes, questions you may like to consider are;

- How does the PADP process ensure that staff and managers are aware of their responsibilities and accountabilities in relation to Equalities?
- How are employees made aware of equality objectives in their school and of any required changes or improvements in relation to Equalities?
- How is each employee's part of achieving changes or improvements made clear to them, so that they understand what is required and why?
- How are staff accountable for ensuring Equality outcomes?
- Do Head teachers understand how Equalities relate to the day to day management of their team and any services provided?

For further information please refer to Section SB of the Schools HR Handbook on the Schools extranet entitled SB – Equality and Diversity

In order for appraising and reviewing managers to manage staff in a fair and inclusive way, the outcomes that are set during the PADP meeting should be **SMART**:

Specific - so that it is clear to both of you exactly what it is to be achieved

Measurable - always think of how the achievement of the outcome can be measured, and you can both gather evidence that they have been achieved

Achievable – the employee needs to have the skills and abilities to achieve the outcomes

Relevant – ensure that the outcome set is relevant for the individual in their service area.

Timescale – ensure a timescale is agreed for when the outcomes are to be achieved or reviewed by. The outcomes should clearly link to the council's outcomes and your work area outcomes. Some people find it helpful to develop a separate, detailed action plan for outcomes.

4.1 How will learning and career development be identified?

During the PADP meeting, you and your appraising manager need to review your planned career and learning development activities and outcomes.

You should consider whether the activities have taken place and what impact they have had.

The areas that have been identified as needing development in an individual's performance and behaviours should be clearly identified in this section.

Learning and development outcomes need to be set with priorities, timescales and decisions that identify how they are going to happen and who is responsible for arranging them etc.

Apart from identifying areas of improvement, the learning and development section of the form is about forward planning. Your appraising manager and you should discuss where you see yourself in 2 - 3 years and what you need to do to achieve that.

Learning and development needs must also reflect the school's requirements of individuals e.g. equalities, health and safety etc.

Appraising managers should be realistic but also imaginative about suggested solutions to developmental needs so employees get the skills they need to do their job. There are other learning and development solutions apart from training.

Many personal development activities do not need funding, such as mentoring, shadowing, secondments, working on specific projects, etc.

4.2 What are the overall performance assessment ratings that will be applied?

The PADP scheme includes an overall assessment or rating of your performance and behaviour. This will be set provisionally by your appraising manager at the appraisal meeting but must be agreed with the reviewing manager/your Head teacher before being confirmed.

All employees must receive a rating – this is to summarise their performance and behaviours over the past 12 months. It will also be used to identify if the employee is eligible for incremental progression, based on their performance from the previous year (assuming they are not already positioned at the top of the grade for their job).

As the PADP should not contain any surprises (both the appraising manager and employee should have a clear view of current performance based on regular interaction), disagreements should be rare. The PADP allows information that should already be available to both parties to be captured appropriately and built into future plans.

The PADP should be a positive process, with recognition being given for good performance and appropriate guidance and support for future outcomes to be met. The appraising manager and reviewing manager will ensure that a fair and robust process is followed, with an individual's performance rating being clearly explained following discussion, as well as guidance on how they can improve their performance rating if necessary.

There are 4 rating categories. For each category there is a description of the type of performance that would be expected. Please note that this is for guidance rather than being definitive as the overall category is a judgement to be made across all the relevant factors. Where outcomes have changed since the original PADP was carried out, performance should be measured against the revised outcomes.

Head teachers are responsible for ensuring that ratings are used consistently in their school.

The ratings for employees are as follows:

| |
|---|
| <u>Exceptional at Doing Your Job</u> <ul style="list-style-type: none">• Exceeds <u>all</u> SMART outcomes relevant to their role |
| <u>Highly Effective at Doing Your Job</u> <ul style="list-style-type: none">• Meets <u>all</u> SMART outcomes relevant to their role |
| <u>Doing Your Job Well</u> <ul style="list-style-type: none">• Meets the majority of SMART outcomes relevant to their role |
| <u>Improvement Needed to Do Your Job</u> <ul style="list-style-type: none">• Meets some of the SMART outcomes relevant to their role |

Where an employee has been identified as 'improvement needed to do your job' a clear development plan must be put in place to address the challenges identified. In 2012 this also means that no increment will be awarded to that individual.

Where an employee has a development plan in place already and the identified improvements have not been made in their performance and behaviour within the agreed timescales you should seek advice from the HR Advisory team to ensure that the appropriate performance or disciplinary procedures are being followed. The Human Resources policies on performance and disciplinary procedures in the HR handbook on the schools extranet support this process.

If there is disagreement over the process, outcomes or performance rating that has been *provisionally* set during the appraisal meeting, a note should be made of this on the appraisal form.

The reason for the disagreement, how the matter is to be resolved, and how it can be avoided in future should be considered by the appraising/reviewing manager and/or Head teacher. If this doesn't provide a solution the grievance procedure may be used.

4.3 What do I need to do to record the PADP meeting has taken place?

You must agree with your appraising manager who is to update the PADP form reflecting the discussion held.

You are to review and add any additional comments within 10 days. Once you have had the opportunity to comment, you should return the form to your appraising manager.

The PADP form should then be signed off by the reviewing manager to ensure that any issues are picked up and that they agree the performance rating provisionally identified at the meeting. It should also mean that the process is monitored in terms of fairness, quality and whether PADP meetings are taking place. Once all signatures have been obtained, employees will be given a copy.

5 The Mid-Year Review

5.1 What is this?

The mid-year review is an opportunity for you to discuss with your appraising manager the outcomes set earlier in the year and how you feel you are progressing with these.

It allows you to identify any challenges you are experiencing and how these may be overcome as well as any additional support that may be required to help you successfully achieve all of your outcomes. You may find it useful to use Form E to help you structure this meeting.

5.2 When should the mid-year review meeting be held?

All mid-year reviews should be completed between October – November

It is important to ensure PADP meetings are completed on time so that employees maintain the continuity of the process through the whole year.

6 Monitoring and Evaluation

6.1 Who is the reviewing manager?

The reviewing manager is generally the appraiser's manager or Head teacher. However, in some schools where the PADP scheme has been delegated more widely, the reviewing manager may not be the appraiser's line manager. Each school can agree who will be the reviewing manager according to their reporting structures.

6.2 What are the responsibilities of the reviewing manager?

The reviewing manager has an important role in the PADP process, to ensure that the PADP scheme is effectively implemented within their area of the school and to check the decisions of the appraising manager.

The reviewing manager will:

- implement the PADP scheme in their work area in an effective and timely manner;
- ensure that appraisers and appraisees have been briefed and trained if necessary in the scheme;
- co-ordinate the scheme and ensure that appraisal interviews are held and that the forms are completed correctly;
- keep a regular check on the progress of the scheme during the appraisal year;
- ensure that the appraisal process fits into the schools development plan;
- meet with appraisers to:
 - clarify the process
 - confirm who is appraising whom
 - confirm who is the reviewing manager
- ensure the outcomes are at the right level and SMART (specific, measurable, achievable, relevant and with a timescale);
- ensure optional outcomes are incorporated if the school have opted to include them;

- collate the appraisal forms to look at the distribution, fairness and consistency of ratings;
- compare the ratings awarded by the various appraisers;
- ensure no bias in the ratings across aspects such as race, disability or gender and investigate any anomalies;
- assist appraisers who appear to be too generous or too harsh in their ratings;
- countersign and add overall comments to the appraisal form;
- handle any concerns or disputes arising from the PADP process with a view to resolving to the satisfaction of all parties involved; and

6.3 Who is responsible for reporting PADP completions?

HR Operations will advise how they wish to receive the data in order to update their systems and the employees pay – if appropriate. It is anticipated that schools will be asked to complete a spreadsheet and return this to their HR Payroll assistant.

7 Additional Information

7.1 Confidentiality

Information from individual PADPs is confidential and will only be kept within a school. It should be kept in accordance with the principles of the Data Protection Act.

PADP's should be kept securely and access to the form and the information it contains should be limited to those who have reason to access it for individual management or monitoring purposes. However it may be possible to extract information with the person's consent