

# **PERFORMANCE MANAGEMENT FOR SUPPORT STAFF GUIDE FOR MANAGERS**

**Learning for Everyone All the time**

**Performance Management**  
**For Support Staff in Schools**  
**Guide for Managers**  
**Contents**

	Page Number
1. PREPARATION AND MONITORING	3
2. DEVELOPING A WORKPLAN	4
3. REVIEWING PERFORMANCE	6
4. INCREMENTAL AWARD	8
5. APPEALS PROCEDURE	11
ANNEX 1 TIMETABLE FOR DELIVERY	16
ANNEX 2 ANNUAL TIMETABLE	17

## 1: PREPARATION

Preparation for the various stages of Performance Management needs to be undertaken in time for the delivery of those stages. You should ensure that the areas identified in the checklist below are either:

- In place in December/January ready for the following financial year  
OR
- Scheduled for development before they are required during the year.

WHAT NEEDS TO BE IN PLACE	IN PLACE? Y/N
<b>CLEARLY DEFINED ROLES, RESPONSIBILITIES AND TIMESCALES</b>	
Annual Performance Management Timetable (see Annexes A and B)	
Scheme of Delegation which sets out those responsible for: Delivery of Annual Performance Management Timetable at individual and Departmental levels Hearing Appeals against level of incremental award	
<b>MANAGEMENT INFORMATION</b>	
School Development Plan from which all workplan objectives will be derived	
Profile of staff known at individual and School levels. Grade and position Equality information – specifically disability, race and sex (including part-time)	
Systems developed, and implementation scheduled, for individual and Departmental monitoring and recording. To include: <ul style="list-style-type: none"> <li>➤ Position at April (start of financial and workplan delivery year) – workplans in place, potential for incremental award, grade and equality information specifically disability, race and sex (including part-time).</li> <li>➤ Analysis – March/April – of learning and development plans to:</li> <li>➤ Arrange provision in conjunction with Corporate Learning and Development</li> <li>➤ Provisional assessment of incremental award at October (following September mid-year reviews)</li> <li>➤ Evidence of consistency – particularly between comparable jobs and in relation to equality profiles specifically disability, race and sex (including part-time) – of:</li> <li>➤ Objectives e.g. complexity, balance, skills required.</li> <li>➤ Evidence of achievement</li> <li>➤ Levels of incremental award</li> </ul>	
<b>BUDGET</b>	
Budget available for incremental award. Decisions on whether incremental award is affordable are separate to target setting.	

## 2: DEVELOPING A WORKPLAN

1. Workplan development should take place during February:
  - For implementation from the following 1 April
  - Alongside the annual review process for the current workplan year.
2. However, the workplan should be seen as a 'live' document with the scope for further development to, for example, to reflect:
  - New developments or re-prioritising
  - Early completion of initial objectives
  - Adjustment to reflect issues outside of the employees control

### Extension Targets & the Bar

From financial year 2002/03 extension targets must be set at every point within the grade for all staff, including the maximum and will replace the bar.

Extension targets

- must be agreed and clearly documented as such in the workplan, i.e. targets that "stretch" provide challenge and maximise the person's potential. It is likely that staff may need learning, development and coaching to achieve these specific targets, hence supporting the aim of continuous improvement.
- should be continuous and add value to improve service provision. Progressively the role becomes more challenging and services are enhanced as the individual moves through the grade. It is believed that appropriate targets will be possible for all staff, -
- Should not be "created" without real business need. or added value
- May not be within the potential capability of all employees.
- May not be the employee's choice. Not all staff wish to continually develop and take on extra responsibility; and those managing must respect this.

<b>WHAT NEEDS TO BE IN PLACE</b>	<b>IN PLACE? Y/N</b>
<b>WORK- PLANNING MEETINGS</b>	
Timetables known and agreed by all involved	
Venues arranged which are private and accessible to all involved	
<b>EMPLOYEE INFORMATION</b>	
Grade and potential for progression	
Capability (skills, knowledge, performance etc.) This is of particular relevance for the setting of extension targets as it is essential that you ensure that appropriate learning and development is made available to staff to assist them achieve the targets.	
Job description	
<b>OBJECTIVES</b>	
Manager understanding of how to develop <b>S</b> pecific, <b>M</b> easurable, <b>A</b> greed, <b>R</b> ealistic, <b>T</b> ime-related (SMART) objectives	
Employee understanding of how to develop <b>S</b> pecific, <b>M</b> easurable, <b>A</b> greed, <b>R</b> ealistic, <b>T</b> ime-related (SMART) objectives	
<b>DOCUMENTATION</b>	
School Development Plan which can be used to derive individual workplan objectives	
<b>BUDGET</b>	
Understanding of budget available	
<b>MANAGEMENT INFORMATION</b>	
School monitoring systems to confirm the development of workplans, their quality and the effectiveness of the process for both managers and staff.	

### 3: REVIEWING PERFORMANCE

#### When

Normal management/employee supervision should continue throughout the year. This should be supported by formal performance reviews. Group objectives can be set for team working. However, the individual meeting may still need to be arranged to discuss the learning and development of each individual and their contribution to the achievement of the team objectives. The **minimum** frequency of formal performance review meetings is 6 monthly:

- September – mid year review. For assessing performance to date, reviewing achievement of objectives, confirming objectives for the remainder of the year. The outcomes of this review should also inform Unit and Departmental level review of - and, as necessary, adjustment to - expenditure predictions for year-end incremental award.
- February – annual performance review. For assessing evidence of achievement of workplan objectives and, as relevant, for making Unit and Departmental recommendations on incremental award. Also for developing the following years workplan and related objectives.

WHAT NEEDS TO BE IN PLACE	IN PLACE Y/N
<b>REVIEW MEETINGS</b>	
Timescales known and agreed by all involved.	
Venues arranged which are private and accessible to all involved.	
Employee's given reasonable time to prepare for the meeting.	
<b>NEXT YEAR</b>	
See 'Key Element 2 : Developing a Workplan'	
<b>EMPLOYEE INFORMATION</b>	
Grade and potential for progression	
<b>DOCUMENTS</b>	
This year's workplans – original and subsequent reviews	

## Performance Management For Support Staff in Schools - Guide for Managers

<b>MANAGEMENT INFORMATION</b>	
Systems developed, and implementation scheduled	
Monitoring	
Analysing outcomes of reviews – including for consistency of review and financial implications.	
<b>BUDGET</b>	
Understanding of budget available to support incremental award	

#### 4. INCREMENTAL AWARD

The following highlights key times in the incremental award process:

January/ February	Identify opportunities for objectives and extension targets for the following financial year's workplan
	Calculate cost of incremental award in the following financial year and identify budget available
February	<p>Assessment of performance and identification of provisional incremental award for consistency and expenditure decisions.</p> <p>School Scheme of Delegation should identify:</p> <ul style="list-style-type: none"> <li>• Who should notify employees on recommendation/ confirmation of incremental award</li> <li>• What stages in the review meeting/monitoring of consistency processes employees should be so notified</li> </ul>
March	Recommendations on incremental award to Personnel Committee NB Consideration should be given to the need to ensure that those hearing subsequent Appeals must be independent of the original decision
	Analysis of learning and development outcomes at individual and Departmental levels
April	Employee written notification of incremental award or otherwise
	Appeals process
	Notification to pay to Pay Department
September/ October	<p><u>Six month review</u></p> <p>Analysis of overall employee performance to date including:</p> <ul style="list-style-type: none"> <li>• Quality and progress of process and supporting documentation</li> <li>• Assessment of performance and achievement of individual objectives and School Development Plan to date</li> <li>• Provisional assessment of level of incremental award</li> </ul>

Managers' should ensure that:

- The process is properly and competently implemented and managed
- Workplans are unambiguous, justifiable and fair
- Managers' review achievement of workplans in a fair and consistent manner.

#### Award of Two Increments



In exceptional circumstances an employee may be awarded 2 increments at the end of a financial year. The decision can only be made by the Headteacher. Schools need to take the provisions of Equal Pay Act into account when exercising their powers in respect of the terms and conditions of staff. The awarding of two increments must be substantiated to avoid equal pay claims. Criteria for the awards of two increments should be reflected in the Whole School's pay policy.

Advice can be sought from Education Human Resources.

The award will only apply to staff below the grade maximum; (i.e. payments cannot place the employee above the maximum of the grade).

- It is to reflect achievement at exceptional performance level, i.e. reward high achievers.
- Not used to recognise high workload, (e.g. due to shortages of staff where other payment methods are more appropriate) and not be considered where other rewards are evident, such as honoraria.
- Require prior identification of affordability.

The substantiation should show -

- Evidence of targets and assessment processes are evident. -
  - workplan objectives, including extension targets.
  - learning & development objectives.
  - attendance (e.g. sickness level).
- Outcomes that exceed the standards set out in the workplan and which have a tangible impact on the school success
- The contribution of the employee would enable the service to achieve defined school aims that would not otherwise be achieved.

The decision making process must be supported by a robust paper trail.

## Checklist

The checklist below details what the School needs in place to manage the incremental award process.

WHAT NEEDS TO BE IN PLACE	IN PLACE? Y/N
<b>EMPLOYEE COMMUNICATION</b>	
<p>Clear and timely communication to employees on:</p> <ul style="list-style-type: none"> <li>• The continuing value of employees who have achieved objectives but are not eligible for incremental award because: <ul style="list-style-type: none"> <li>➤ They are at the top of the grade</li> <li>➤ The opportunity for extension targets was not available to them</li> </ul> </li> <li>• The timescales for notification of incremental award</li> <li>• How consistency and fairness in incremental award is being achieved</li> <li>• The Appeals Process is annexe 1, and details how this can be used and that those hearing Appeals will be independent of the original decision.</li> </ul>	
<b>APPEALS PROCESS</b>	
School Scheme of Delegation setting out those responsible for hearing Appeals against incremental award. <b>NB Managers need to ensure that those hearing subsequent Appeals are independent of the original decision.</b>	
<b>BUDGET</b>	
Understanding of budget available to support incremental award	

School Scheme of Delegation should identify:

Who should notify employees on recommendation/confirmation of incremental award

What stages in the review meeting/monitoring of consistency processes employees should be so notified.

## **5. PERFORMANCE MANAGEMENT APPEALS PROCESS AGAINST ASSESSMENT OF PERFORMANCE AND/OR NOT SECURING PROGRESSION WITHIN THE GRADE**

### **Grounds of Appeal**

1. Appeals can relate to:
  - 1.1 Achievement of individual's objectives
  - 1.2 Assessment of individual's performance
  - 1.3 Recommendation of individual's incremental award
2. There is no Appeal against objectives set. This is:
  - 2.1 A management led activity
  - 2.2 Overseen by the Manager's Line Manager

However, Manager's should seek to gain the agreement of individuals to objectives.

### **Principles**

3. The following general principles apply to this Procedure:
  - 3.1 The Appeals Process relates to the Annual Review and Incremental Award processes
  - 3.2 All employees have the right of appeal
  - 3.3 Appeals have to have substance and be based on facts
  - 3.4 Employees may be represented or accompanied by a work colleague or trade union representative during the Appeal Hearing
  - 3.5 Appeals will be submitted in writing using the attached Performance Management Appeals Form
  - 3.6 Management responses will be submitted in writing using the attached Performance Management Appeals Form
  - 3.7 All employees, managers and trade union representatives will be briefed on the Appeals Procedure
  - 3.8 Appeals must be submitted within 10 working days of receiving notification of assessment of performance or incremental progression

### **Process**

4. Before submitting an Appeal, the employee and their Line Manager - i.e. the person who has made the assessment of performance - should try to resolve the point(s) at issue by discussion.
5. If the employee is not satisfied with the Line Manager's decision, s/he may submit an Appeals Form (as attached) to the Headteacher (or another manager who is senior to the Line Manager and nominated by the Chair of Governors for this purpose). The Manager hearing the Appeal must be independent of:

5.1 The assessment of the Appellant's performance

5.2 The recommendation of the Appellant's incremental award

For Headteachers, Appeals should be submitted to the Chair of Governors (or Chair of Governors' nominee).

6. The Chair of Governors (or Chair of Governors' nominee) will consider the Appellant's case.
7. If the the Chair of Governors (or Chair of Governors' nominee) supports the Appellant's case, either:
  - A revised assessment of performance will be made - by the person hearing the Appealand/or
  - An incremental award will be recommended if, and as, appropriate.
8. Appeals will, wherever possible, be heard within 10 working days of receipt by the the Chair of Governors (or Chair of Governors' nominee) and the decision will be formally advised to the Appellant - usually within 5 working days of the hearing.
9. In the event that these target timescales cannot be met, the Appellant will be notified promptly, and in writing, of the likely delay and the reason(s) for it.
10. Records of Appeals should be kept securely in the School.

**PERFORMANCE MANAGEMENT APPEALS FORM  
AGAINST ASSESSMENT OF PERFORMANCE AND/OR NOT SECURING  
PROGRESSION WITHIN THE GRADE**

*Please refer to the Performance Management Appeals Process before completing this Form. Completed Forms should be submitted to the Headteacher or the Chair of Governors (or Chair of Governors' nominee)*

Name: \_\_\_\_\_

Job Title: \_\_\_\_\_

School: \_\_\_\_\_

Current grade: \_\_\_\_\_

Grounds of Appeal

Delete as appropriate: Achievement of objectives/Assessment of performance/Recommendation of incremental award

Please provide supporting details:

*(Continue on a blank sheet if necessary)*

Signed: \_\_\_\_\_  
(Appellant)

Date: \_\_\_\_\_

Manager's decision and explanation:

*(Continue on a blank sheet if necessary)*

Signed: \_\_\_\_\_

Date: \_\_\_\_\_

Manager (Job Title) \_\_\_\_\_

**NOT FOR DISTRIBUTION - MANAGER'S USE**

**ACTION SHEET FOR HEARING APPEALS AGAINST ASSESSMENT OF  
PERFORMANCE AND/OR NOT SECURING PROGRESSION WITHIN THE GRADE**

**APPELLANT DETAILS**

Name: \_\_\_\_\_

Job Title: \_\_\_\_\_

School: \_\_\_\_\_

Current grade: \_\_\_\_\_

Had the Appellant and/or Line Manager tried to resolve the point(s) at issue by discussion? YES/NO

Did a work colleague/trade union representative accompany the employee? YES/NO

If "Yes", name of work colleague/trade union representative:

Summary of main points raised by appellant:

*(Continue on a blank sheet if necessary)*

.....  
Your decision:

.....  
Rationale for your decision:

*(Continue on a blank sheet if necessary)*

Signed: \_\_\_\_\_

Date: \_\_\_\_\_

Job Title: \_\_\_\_\_

**ANNEX 1**

**TIMETABLE FOR THE DELIVERY OF PERFORMANCE MANAGEMENT  
2003/4**

<b>DATE</b>	<b>EVENT</b>
By 1 November	Workplans, objectives and development plans (where appropriate) in place.
October/November	Budget preparations.
January/ February	Performance Management review interviews are conducted with individuals/groups which looks at current workplanning year and sets objectives for next workplanning year.
March	Managers to compare and agree results of interviews to establish consistency and determine incremental awards.
End March/early April	Managers advise staff of incremental awards and process to payroll.
April/May	Managers / Governors hear appeals.

## ANNEX 2

### ANNUAL TIMETABLE FOR THE DELIVERY OF PERFORMANCE MANAGEMENT

DATE	EVENT
By 1 April	Workplans, objectives and development plans (where appropriate) in place.
September/October	Individual – or group – 6 monthly* review of progress against objectives plus workplans. Minimum frequency.
October/November	Budget preparations.
January/ February	Performance Management review interviews are conducted with individuals/groups which looks at current workplanning year and sets objectives for next workplanning year.
March	Managers to compare and agree results of interviews to establish consistency and determine incremental awards.
End March/early April	Managers advise staff of incremental awards and process to payroll.
April/May	Managers / Governors hear appeals.