



Confederation of School Trusts

Performance Appraisal Policy

This is the Performance Appraisal Policy of the Confederation of School Trusts (hereafter, CST).

CST is committed to supporting every employee to reach their potential and achieve their professional goals, which in turn will assist the organisation to achieve its objectives.

The objectives of the appraisal process are to:

- Maximise performance;
- Reinforce the organisation's values and behaviours;
- Acknowledge good performance and challenge areas where performance does not meet the required standard;
- Set objectives for the year ahead; and
- Encourage staff development, ensure safety and promote well-being.

Our statement of general policy is that:

- The appraisal process improves the effectiveness of the organisation by contributing to achieving a well-motivated and competent workforce.
- Appraisal is an ongoing process with an annual formal meeting to review progress and a half-yearly review. There should normally be no surprises at the appraisal meeting.
- The appraisal discussion is a two way communication exercise to ensure that both the needs of the individual, and of the organisation are being met, and will be met in the next year.
- The appraisal discussion will review the previous year's achievement, and will set an agreed personal development plan for the coming year for each member of staff.
- All directly employed staff who have completed their probationary period are required to participate in the appraisal process.
- The appraisal process will be used to identify the individual's development needs and ensure their safety and well-being.
- Managers will receive appropriate appraisal training to be an appraiser.
- The appraisal process will provide the Executive Officer and Chief Executive with valuable data to assist succession planning.

September 2018

Charitable Company Limited by Guarantee, Registered in England, Charity Number 1107640, Company Number 05303883

VAT Registration Number 270 0880 18

CST Registered Office; George Spencer Academy, Arthur Mee Road, Stapleford, Nottingham NG9 7EW - Tel 0115 917 0142



Confederation of School Trusts

- The appraisal process will be a fair and equitable process in line with our Equality Policy.

The Chief Executive is accountable to the Board for ensuring that all staff are performance managed in line with this performance appraisal policy. The performance appraisal policy supports the performance appraisal scheme. The scheme is a formal process centred on an annual meeting of each employee and their appraiser to discuss the employee's work. The purpose of the meeting is to review the previous year's achievements and to set objectives for the following year. These should align individual employees' goals and objectives with organisational goals and objectives.

The cycle of performance appraisal

Performance appraisal discussions will be held over a designated four-week period in late January/ early February on an annual basis, following the Board's ratification of the strategic plan and budget.

With the exception of the Chief Executive, the performance appraisal meeting will be arranged by the employee's line manager. Line managers will also provide the opportunity for a six-month appraisal review in late June/ early July.

The Chief Executive is accountable to the Board, through the trustee designated by the Board, normally the Chair. The Chief Executive's performance appraisal will be conducted by a panel of three trustees, including the trustee designated by the Board (normally the Chair).

The discussion will be held in private. For staff below executive grade, information shared during the appraisal will be shared only with the Chief Executive. The exception is training needs, which will need to be aggregated into a training plan.

Confidentiality of the appraisal process will be respected.

The appraiser will be expected to have successfully completed appraiser training, and to be familiar with the employee's work.

All appraisal documents should be shared with both parties prior to the discussion, in order to allow time for both parties to reflect and prepare. These will provide a framework and focus for the discussion.

A time and venue for the discussion will be advised at least one week before the meeting takes place.

Septemberr2018

Charitable Company Limited by Guarantee, Registered in England, Charity Number 1107640, Company Number 05303883

VAT Registration Number 270 0880 18

CST Registered Office; George Spencer Academy, Arthur Mee Road, Stapleford, Nottingham NG9 7EW - Tel 0115 917 0142



Confederation of School Trusts

The appraisal discussion

The appraisal discussion will allow an opportunity for both the employee and the appraiser to engage in an honest and constructive assessment of the previous year's achievements.

The appraiser is accountable for giving the employee constructive, timely and honest appraisals of their performance, which should take into account both the goals of the organisation and of the individual.

The discussion should be a positive dialogue, and will focus on assisting the employee to acquire the relevant knowledge, skills and competencies to perform his/her current role to the best of his/her abilities.

The discussion will include an assessment against CST's key competencies and consideration of health and well-being, and future plans, aims and aspirations.

The employee and appraiser should agree on a personal development plan for the employee for the following year. This will reflect the employee's aspirations and the organisation's requirements, and should align personal and organisational goals. The organisation and the appraiser will support the individual to achieve these goals during the forthcoming year.

Any training needs, future training requirements, development opportunities and career planning should be discussed but not confirmed with the employee, as training will need to be aggregated into an organisational training plan and costed.

The appropriate forms will be completed and signed by both parties. The employee will have the opportunity to comment, including where necessary to note any comments that he/she does not agree with.

Appraisal documentation will be stored in the employee's confidential personnel file held by the line manager and a copy will be provided to the employee.

Support plans

Where performance has fallen short of expectations, the appraiser will normally put in place a support plan albeit a support plan can legitimately be used at any stage of the appraisal cycle should the need arise. This is in line with CST's informal stage of the capability process.

The support plan will consist of:

- **The performance concern/s:** a clear description of the specific area/s where performance standards have not been met, giving specific dates and/or examples of where the standards have not been met

Septemberr2018

Charitable Company Limited by Guarantee, Registered in England, Charity Number 1107640, Company Number 05303883

VAT Registration Number 270 0880 18

CST Registered Office; George Spencer Academy, Arthur Mee Road, Stapleford, Nottingham NG9 7EW - Tel 0115 917 0142



Confederation of School Trusts

- **Expected standard of performance:** detail what is expected of the employee in terms of their performance i.e. what does 'good' look like.
- **Agreed improvement actions:** detail what actions need to be taken to meet expected standard of performance.
- **Support:** detail what has been agreed in terms of support required to achieve the expected standard of performance.
- **Review Date/s.**

Appeal process

If the outcome of the appraisal process is in dispute, then the employee has the right of appeal. For staff below executive grades, the right of appeal is to the CEO.

For staff at executive grades, including the Chief Executive, the right of appeal is to a panel of three trustees. For the Chief Executive's appraisal, any trustee serving on an appeal panel must not have formed part of the original appraisal panel.

No conflicted trustee can serve on either an appraisal panel or an appeals panel.

Training and monitoring

The Chief Executive is ultimately responsible for the appraisal process other than their own, and shall ensure that appraisers and employees are adequately equipped to undertake the performance appraisal process.

Probationary Period

The purpose of a probationary period is to provide a suitable amount of time in which the employer can assess the employee's capability within the particular role that they are undertaking and their suitability for that role. At CST the probationary period will usually be for six months from the date of employment.

During the probationary period, the line manager should meet with the employee on a regular basis to discuss what is going well, what support the employee requires and to cross reference their performance against the requirements of the job description.

At the end of the probationary period a formal meeting will take place between the line manager and the employee to assess the next steps. In the case of the CEO this meeting will take place with an appraisal panel of three trustees which includes the CEO's line manager.

Septemberr2018

Charitable Company Limited by Guarantee, Registered in England, Charity Number 1107640, Company Number 05303883

VAT Registration Number 270 0880 18

CST Registered Office; George Spencer Academy, Arthur Mee Road, Stapleford, Nottingham NG9 7EW - Tel 0115 917 0142



Confederation of School Trusts

Taking into account the employee's performance and the discussions that have taken place during the probationary period, the line manager (or panel) may take one of the following actions:

1. If there are no concerns about the performance or suitability of the individual, they should be confirmed in post and the probationary period ended.
2. If there are strong concerns about the performance and/or suitability of the individual, a recommendation should be made to end their contract by their line manager. In the case of the CEO the panel have the authority to dismiss. The individual will then be subject to the usual CST dismissal process and have a right of appeal if dismissal is approved. In the case of the CEO they have the right of appeal against dismissal to an appeals panel.
3. If there are some concerns about the performance and/or suitability of the individual, the probationary period should be extended for a further three months.

If a probationary period is extended there will be no right of appeal at this stage. During the extension period the line manager should meet with the individual on a fortnightly basis to gauge the level of performance, offer support and determine if there are any issues which need addressing. In the first meeting it should be made clear what the expectations are during the three-month extension period and achievable objectives should be set.

If it is felt that the individual would benefit from more frequent meetings, this may be arranged if both the line manager and the employee agree.

At the end of the extension period, a formal meeting will take place between the line manager and the employee. In the case of the CEO this will be with the appraisal panel. The line manager or appraisal panel may then take one of the following actions:

1. If there are no concerns about the performance or suitability of the individual, they should be confirmed in post and the probationary period ended.
2. If there are strong concerns about the performance and/or suitability of the individual, a recommendation should be made to end their contract. The individual will then be subject to the usual CST dismissal process and have a right of appeal if dismissal is approved. In the case of the CEO there is the right of appeal to a panel of three trustees who have had no previous dealings in the performance review of the CEO.
3. If some concerns relating to performance and/or suitability remain then the individual can be confirmed in post but these issues addressed as part of the appraisal objectives for the first cycle.

Septemberr2018

Charitable Company Limited by Guarantee, Registered in England, Charity Number 1107640, Company Number 05303883

VAT Registration Number 270 0880 18

CST Registered Office; George Spencer Academy, Arthur Mee Road, Stapleford, Nottingham NG9 7EW - Tel 0115 917 0142



Confederation of School Trusts

Authorised signatory

Date; 19 January 2018; Revised 25 October 2018

Date of review: July 2019

Septemberr2018

Charitable Company Limited by Guarantee, Registered in England, Charity Number 1107640, Company Number 05303883
VAT Registration Number 270 0880 18

CST Registered Office; George Spencer Academy, Arthur Mee Road, Stapleford, Nottingham NG9 7EW - Tel 0115 917 0142



Confederation of School Trusts

PERFORMANCE APPRAISAL SCHEME

Name:

Job title:

Date:

Competencies (skills, attributes and behaviours that enable an employee to perform their duties)

This is an opportunity to review performance against CST's key competencies and the employee's job description, and to capture specific examples.

Competency	Comments: <i>Consider the job description, CST's values, and the organisation's objectives</i>
Commitment to quality: (for example, meets or exceeds standards for quantity and quality; achieves required results; displays creativity and takes initiative, when necessary)	
Planning and organising: (for example, plans and organises work well; takes into account and monitors timescales and resources; adapts to changing circumstances)	
Relations with others: (for example, has good relationships; displays a positive and professional outlook with colleagues and members; supports colleagues)	
Trustworthiness and ethics: (for example, respects confidentiality; co-workers and members depend on you to make trustworthy decisions based on integrity; displays ethical behaviour)	

September2018

Charitable Company Limited by Guarantee, Registered in England, Charity Number 1107640, Company Number 05303883

VAT Registration Number 270 0880 18

CST Registered Office; George Spencer Academy, Arthur Mee Road, Stapleford, Nottingham NG9 7EW - Tel 0115 917 0142



Confederation of School Trusts

Leadership *(for executive level)*

Leading the organisation: managing change; solving problems and making decisions; managing politics and influencing others, taking risks and innovating, setting vision and strategy; managing the work; enhancing business skills and knowledge; understanding and navigating the organisation.

Leading the self: demonstrating ethics and integrity; displaying drive and purpose; exhibiting leadership stature and capacity to learn; increasing self-awareness; adaptability.

Leading others: communicating effectively; developing others; valuing diversity and difference; building and maintaining relationships; managing effective teams.

September2018

Charitable Company Limited by Guarantee, Registered in England, Charity Number 1107640, Company Number 05303883
VAT Registration Number 270 0880 18

CST Registered Office; George Spencer Academy, Arthur Mee Road, Stapleford, Nottingham NG9 7EW - Tel 0115 917 0142



Confederation of School Trusts Objectives

Review of last year's objectives

This is an opportunity to review performance in relation to the specific objectives set for the year.

Objectives	Comments <i>Consider how each objective or target was achieved, including special tasks, personal training and development. How were any obstacles to achieving the objectives and how were they overcome?</i>
Objective 1:	
Objective 2:	
Objective 3:	
Objective 4:	

Optional: any major achievement/s in the past twelve months (in addition to objectives)

--

September2018

Charitable Company Limited by Guarantee, Registered in England, Charity Number 1107640, Company Number 05303883
VAT Registration Number 270 0880 18

CST Registered Office; George Spencer Academy, Arthur Mee Road, Stapleford, Nottingham NG9 7EW - Tel 0115 917 0142



Confederation of School Trusts

Setting new objectives for next year

This is an opportunity to set new objectives for the year ahead.

Objectives <i>Please ensure that objectives, where possible, are:</i> <ul style="list-style-type: none">• Specific - Objectives should state a desired outcome. What does the employee need to achieve?• Measurable - How will you and the employee know when an objective has been achieved?• Achievable - Is the objective something the employee is capable of achieving but also challenging?• Relevant - Do objectives relate to those of the team/department/organisation?• Time scaled - When does the objective need to be achieved?	Comments <i>Consider how each objective or target was achieved, including special tasks, personal training and development. How were any obstacles to achieving the objectives and how were they overcome?</i>
Objective 1 (To be linked to CST's strategic plan, if appropriate): Key piece of evidence:	Mid-year review: Final review:
Objective 2 (Individual objective related to role designation): Key piece of evidence:	Mid-year review: Final review:
Objective 3 (Individual objective related to role designation): Key pieces of evidence:	Mid-year review: Final review:

September2018

Charitable Company Limited by Guarantee, Registered in England, Charity Number 1107640, Company Number 05303883

VAT Registration Number 270 0880 18

CST Registered Office; George Spencer Academy, Arthur Mee Road, Stapleford, Nottingham NG9 7EW - Tel 0115 917 0142



Confederation of School Trusts

Objective 4 (<i>Personal/ professional development objective</i>):	Mid-year review:
Key pieces of evidence:	Final review:

Any comments related to health and wellbeing ¹
Proposed training and development (<i>should be discussed but not confirmed with the employee, as training will need to be aggregated into an organisational training plan and costed</i>)
Future plans, aims and aspirations (<i>bear in mind the working without the default retirement age guidelines</i>)
Any other matters
Line manager's comments (<i>optional</i>)
Employee's comments (<i>optional</i>)

¹ All line managers and those with supervisory responsibility for other employees are required to:

- Facilitate risk assessments relating to staff wellbeing, and implement agreed findings, e.g. safe working; to ensure that staff are seated correctly at computers; ensuring that workspaces are tidy with no hazards; support during personal or ill health problems.
- Ensure staff are fully trained to discharge their duties.
- Ensure staff are provided with meaningful developmental opportunities.
- Monitor workloads to ensure staff are not overloaded.
- Monitor working hours to ensure staff are not overworking, and monitor holidays to ensure staff are taking their full entitlement.
- Ensure any potential staff wellbeing issues are communicated to the Chief Executive as soon as possible in order to secure appropriate advice and support.
- Ensure effective measures are in place for monitoring all sickness absences.

September 2018

Charitable Company Limited by Guarantee, Registered in England, Charity Number 1107640, Company Number 05303883

VAT Registration Number 270 0880 18

CST Registered Office; George Spencer Academy, Arthur Mee Road, Stapleford, Nottingham NG9 7EW - Tel 0115 917 0142



Confederation of School Trusts

--

Line manager signature	Employee signature
Date	Date

Copy to employee/ employee's confidential personnel file / Chief Executive.

Septemberr2018

Charitable Company Limited by Guarantee, Registered in England, Charity Number 1107640, Company Number 05303883

VAT Registration Number 270 0880 18

CST Registered Office; George Spencer Academy, Arthur Mee Road, Stapleford, Nottingham NG9 7EW - Tel 0115 917 0142