**INGOLDISTHORPE C of E PRIMARY SCHOOL**

**Teacher & Support Staff Appraisal**

**& Capability Policy.**

**Original signed copies in staff room with copies on:**

**website and intranet.**

***July 2019***

*Signed: Chairman of Governors Date: July 2019*

*Signed: Head teacher Date: July 2019*

*Reviewed by Governors Summer term 2019*

*Ratified at the July meeting.*

*Policy to be reviewed Summer Term 2022.*

May 2012, revised in March 2019 – adopted from DfE model policy.

Contents

[Introduction 4](#_Toc2085601)

[Model policy for appraising teacher performance and dealing with capability issues 6](#_Toc2085602)

[Purpose 6](#_Toc2085603)

[Application of the policy 6](#_Toc2085604)

[Part A – Appraisal 7](#_Toc2085605)

[The appraisal period 7](#_Toc2085606)

[Appointing appraisers 7](#_Toc2085607)

[Setting objectives 7](#_Toc2085608)

[Reviewing performance 8](#_Toc2085609)

[Observation 8](#_Toc2085610)

[Development and support 8](#_Toc2085611)

[Feedback 9](#_Toc2085612)

[Evidence 9](#_Toc2085613)

[Transition to capability 9](#_Toc2085614)

[Annual assessment 10](#_Toc2085615)

[Part B – Capability Procedure 11](#_Toc2085616)

[Formal capability meeting 11](#_Toc2085617)

[Monitoring and review period following a formal capability meeting 12](#_Toc2085618)

[Formal review meeting 12](#_Toc2085619)

[Decision meeting 13](#_Toc2085620)

[Decision to dismiss 14](#_Toc2085621)

[Dismissal 14](#_Toc2085622)

[Appeal 14](#_Toc2085623)

[General Principles Underlying This policy 15](#_Toc2085624)

[ACAS Code of Practice on Disciplinary and Grievance Procedures 15](#_Toc2085625)

[Confidentiality 15](#_Toc2085626)

[Consistency of Treatment and Fairness 15](#_Toc2085627)

[Definitions 15](#_Toc2085628)

[Delegation 15](#_Toc2085629)

[Grievances 15](#_Toc2085630)

[Sickness 16](#_Toc2085631)

[Monitoring and Evaluation 16](#_Toc2085632)

[Retention 16](#_Toc2085633)

# Introduction

Appraisal arrangements are set out in the Education (School Teachers’ Appraisal) (England) Regulations 2012 (the Appraisal Regulations).

The Appraisal Regulations set out the principles that apply to teachers in all maintained schools and centrally employed (or unattached) teachers employed by a local authority, in each case where they are employed for one term or more. It is also good practice for academies to follow the appraisal regulations although they are not legally required to do so.

Schools and local authorities must stay within the legal framework set out in the Appraisal Regulations and all schools (including academies) must adhere to any other relevant legislation that affects all employers (for example legislation on equality, employment protection and data protection).

Schools and local authorities must have an appraisal policy for teachers and a policy, covering all staff, which deals with capability. This model policy, updated in spring 2019, has been provided as an optional resource for schools and others to which they can refer as they wish as they review and develop their own policies. It applies only to teachers, including headteachers, but schools might wish to adapt it for use with all staff. It has been written in the context of schools, but the same principles apply to centrally employed (or unattached) teachers. It is good practice for schools to consult staff on their appraisal and capability policies.

The model policy is in two separate sections. Part A covers appraisal and should be used as a reference point by schools and others as they review their policies to reflect the Appraisal Regulations.

Part B of the policy sets out the formal capability procedure and reflects the ACAS Code of Practice on disciplinary and grievance procedures. Capability procedures apply only to teachers and headteachers about whose performance there are serious concerns that the appraisal process has been unable to address.

It is important that the appraisal and capability process is managed in a way that avoids increased workload for all parties concerned, for example, reviewing the number and frequency of meetings and observations, and ensuring the process for collecting evidence is always proportionate.

In the model policy:

**Text in bold** indicates statutory requirements contained in the Appraisal Regulations or the School Staffing Regulations.

*Text in italics* does not form part of the policy itself, but acts as additional advice for schools.

For the purposes of this model policy the term governance board should be considered to include reference to governing bodies.

# Model policy for appraising teacher performance and dealing with capability issues

The governance board of Ingoldisthorpe VA CofE Primary School adopted this policy on 16th July 2019.

It will review it in the summer term 2022.

## Purpose

This policy sets out the framework for a clear and consistent assessment of the overall performance of teachers, including the headteacher, and for supporting their development within the context of the school’s plan for improving educational provision and performance, and the standards expected of teachers. It also sets out the arrangements that will apply when teachers fall below the levels of competence that are expected of them.

## Application of the policy

The policy is in two separate sections.

**Part A of the policy, which covers appraisal, applies to the headteacher and to all teachers employed by the school, trust or local authority, except those on contracts of less than one term, those undergoing induction *(i.e. NQTs)* and those who are subject to Part B of the policy.**

Part B of the policy, which sets out the formal capability procedure, applies only to teachers (including the headteacher) about whose performance there are serious concerns that the appraisal process has been unable to address.

Both parts of the policy should always be applied in a way that is robust whilst minimising the impact on workload for teachers, line managers, headteachers and governance boards.

The policy also applies to all staff.

# Part A – Appraisal

Appraisal in this school will be a supportive and developmental process designed to ensure that all teachers have or fully develop the skills and access to support they need to carry out their role effectively. It will help to ensure that teachers are able to continue to improve their professional practice and to develop as teachers.

## The appraisal period

**The appraisal period will run for twelve months** from September to September.

Teachers who are employed on a fixed term contract of less than one 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 and an individual teacher’s objectives should take account of the length of contract.**

*There is flexibility to have a longer or shorter appraisal period when teachers begin or end employment with a school or local authority or when unattached teachers change post within the same authority.*

## Appointing appraisers

**The headteacher will be appraised by the governance board,** **supported by a** suitably skilled and/or experienced **external adviser who has been appointed by the governance board for that purpose.**

In this school the task of appraising the headteacher, including the setting of objectives, will be delegated to a sub-group consisting of two or three membersof the governance board.

The headteacher will decide who will appraise other teachers.

## Setting objectives

**The headteacher’s objectives will be set by the governance board after consultation with the external adviser.** The governance board has a duty to have regard to the work-life balance of the headteacher and objectives will reflect this.

**Objectives for each teacher will be set before, or as soon as practicable after, the start of each appraisal period.** The objectives set for each teacher, will be Specific, Measurable, Achievable, Realistic and Time-bound and will be appropriate to the teacher’s role and level of experience. Objectives and performance management discussions will not be based on teacher generated data and predictions, or solely on the assessment data for a single group of pupils. Objectives can be set in relation to robust assessment data, however, these will not be used in isolation and other factors will also be considered when making decisions about pay progression. The appraiser and teacher will seek to agree the objectives but, if that is not possible, the appraiser will determine the objectives. Objectives should be revised if circumstances change.

**The objectives set for each teacher will, if achieved, contribute to the school’s plans for improving the school’s educational provision and performance and improving the education of pupils at that school.**

**Before, or as soon as practicable after, the start of each appraisal period, each teacher will be informed of the standards against which that teacher’s performance in that appraisal period will be assessed.** *With the exception of those who are qualified teachers by virtue of holding and maintaining Qualified Teacher Learning and Skills (QTLS) status, all teachers must be assessed against the set of standards contained in the document called “Teachers’ Standards” published in July 2011.*

*For teachers who are qualified teachers by virtue of holding QTLS status, it is for the governance board or headteacher to decide which standards are most appropriate.*

## Reviewing performance

### Observation

This school believes that observation of classroom practice and other responsibilities is important as a way of assessing teachers’ performance in order to identify any particular strengths and areas for development they may have, gaining useful information which can inform school improvement more generally and enabling teachers to learn from each other and collaborate. All observation will be carried out in a supportive fashion and not add to teacher workload.

### Development and support

Appraisal is a supportive process which will be used to determine decisions on pay progression and inform continuing professional development. The school wishes to encourage a culture in which all teachers take responsibility for improving their teaching through appropriate professional development. Professional development will be linked to school improvement priorities and to the ongoing professional development needs and priorities of individual teachers.

### Feedback

Teachers will receive constructive feedback on their performance throughout the year and as soon as practicable after observation has taken place or other evidence has come to light. Feedback will highlight particular areas of strength as well as any areas that require further development. Where there are concerns about any aspects of the teacher’s performance the appraiser will meet the teacher formally to:

* give clear feedback to the teacher about the nature and seriousness of the concerns;
* give the teacher the opportunity to comment and discuss the concerns;
* set clear objectives for required improvement;
* agree any support (e.g. coaching, mentoring, structured observations), that will be provided to help address those specific concerns;
* make clear how, and by when, the appraiser will review progress *(it may be appropriate to revise objectives, and it will be necessary to allow sufficient time for improvement. The amount of time is up to the school but should reflect the seriousness of the concerns)*;
* explain the implications and process if no, or insufficient, improvement is made – e.g., impact on pay progression and potential move to formal capability.

When progress is reviewed, if the appraiser is satisfied that the teacher has made, or is making, sufficient improvement, the appraisal process will continue as normal, with any remaining issues continuing to be addressed though that process.

### Evidence

The range and level of evidence collected for appraisal and pay determination purposes will always be proportionate and minimise workload.

## Transition to capability

If a teacher demonstrates serious underperformance, and has not responded to support provided within the appraisal process, the teacher will be notified in writing that the appraisal system will no longer apply and that their performance will be managed under the capability procedure, and will be invited to a formal capability meeting. The capability procedures will be conducted as in part B of this policy.

## Annual assessment

**Each teacher's performance will be formally assessed in respect of each appraisal period. In assessing the performance of the headteacher, the governance board must consult the external adviser.**

This assessment is the end point to the annual appraisal process, but performance and development priorities will be reviewed and addressed on a regular basis throughout the year in interim meetings which will take place*.*

**The teacher will receive** **as soon as practicable following the end of each appraisal period** – and have the opportunity to comment on – **an appraisal report. The appraisal report will include:**

* details of the teacher’s objectives for the appraisal period in question;
* **an assessment of the teacher’s performance of their role and responsibilities against their objectives and the relevant standards;**
* **an assessment of the teacher’s professional development needs and identification of any action that should be taken to address them;**
* **a recommendation on pay where that is relevant.**

The assessment of performance and of professional development needs will inform the planning process for the following appraisal period.

# Part B – Capability Procedure

This procedure applies only to teachers and headteachers where there is serious underperformance which the appraisal process has been unable to address.At least five *(or insert alternative)* working days’ notice will be given of the formal capability meeting. The notification will contain sufficient information about the concerns about performance and their possible consequences to enable the teacher to prepare to answer the case at a formal capability meeting. It will also contain copies of any written evidence; the details of the time and place of the meeting; and will advise the teacher of their right to be accompanied by a companion who may be a colleague, a trade union official, or a trade union representative who has been certified by their union as being competent. Teachers are entitled to request an alternative date which is within five days of the original date.

## Formal capability meeting

This meeting is intended to establish the facts. It will be conducted by the Chair of Governors (for headteacher capability meetings) or headteacher (for other teachers) *(schools to insert any alternative arrangements).* The meeting allows the teacher, accompanied by a companion if they wish, to respond to concerns about their performance and to make any relevant representations. This may provide new information or a different context to the information/evidence already collected.

The person conducting the meeting may conclude that there are insufficient grounds for pursuing the capability issue and that it would be more appropriate to continue to address the remaining concerns through the appraisal process. In such cases, the capability procedure will come to an end. The person conducting the meeting may also adjourn the meeting *for example if they decide that further investigation is needed, or that more time is needed in which to consider any additional information.*

In other cases, the meeting will continue. During the meeting, or any other meeting which could lead to a formal warning being issued, the person conducting the meeting will:

• identify the professional shortcomings, for example which of the standards expected of teachers are not being met;

• give clear guidance on the improved standard of performance needed to ensure that the teacher can be removed from formal capability procedures (this may include the setting of new objectives focused on the specific weaknesses that need to be addressed, any success criteria that might be appropriate and the evidence that will be used to assess whether or not the necessary improvement has been made);

• explain any support that will be available to help the teacher improve their performance;

• set out the timetable for improvement and explain how performance will be monitored and reviewed. The timetable will depend on the circumstances of the individual case but in straightforward cases could be between four and ten weeks. It is for the school to determine the set period. It should be reasonable and proportionate, but not excessively long, and should provide sufficient opportunity for an improvement to take place); and

• warn the teacher formally that failure to improve within the set period could lead to dismissal. In very serious cases, this warning could be a final written warning.

Notes will be taken of formal meetings and a copy sent to the member of staff. Where a warning is issued, the teacher will be informed in writing of the matters covered in the bullet points above and given information about the timing and handling of the review stage and the procedure and time limits for appealing against the warning.

## Monitoring and review period following a formal capability meeting

A performance monitoring and review period will follow the formal capability meeting. Formal monitoring, evaluation, guidance and support will continue during this period. The member of staff will be invited to a formal review meeting, unless they were issued with a final written warning, in which case they will be invited to a decision meeting (see below).

## Formal review meeting

As with formal capability meetings, at least five *(or insert alternative)* working days’ notice will be given and the notification will give details of the time and place of the meeting and will advise the teacher of their right to be accompanied by a companion who may be a colleague, a trade union official, or a trade union representative who has been certified by their union as being competent.

If the person conducting the meeting is satisfied that the teacher has made sufficient improvement, the capability procedure will cease and the appraisal process will re-start. In other cases:

* If some progress has been made and there is confidence that more is likely, it may be appropriate to extend the monitoring and review period;
* If no, or insufficient improvement has been made during the monitoring and review period, the teacher will receive a final written warning.

As before, notes will be taken of formal meetings and a copy sent to the member of staff. The final written warning will mirror any previous warnings that have been issued. Where a final warning is issued, the member of staff will be informed in writing that failure to achieve an acceptable standard of performance (within the set timescale), may result in dismissal and given information about the handling of the further monitoring and review period and the procedure and time limits for appealing against the final warning. The teacher will be invited to a decision meeting.

## Decision meeting

As with formal capability meetings and formal review meetings, at least five *(or insert alternative)* working days’ notice will be given and the notification will give details of the time and place of the meeting and will advise the teacher of their right to be accompanied by a companion who may be a colleague, a trade union official, or a trade union representative who has been certified by their union as being competent.

If an acceptable standard of performance has been achieved during the further monitoring and review period, the capability procedure will end and the appraisal process will re-start. If performance remains unsatisfactory, a decision, or recommendation to the governance board, will be made that the teacher should be dismissed or required to cease working at the school.[[1]](#footnote-1)

Before the decision to dismiss is made, the school will discuss the matter with the local authority. In Community and VC schools, or in Foundation or VA schools where the local authority has been given LA Advisor Rights, the local authority has the right to attend any meetings where dismissal is involved.

The teacher will be informed as soon as possible of the reasons for the dismissal, the date on which the employment contract will end, the appropriate period of notice and their right of appeal.

## Decision to dismiss

The power to dismiss staff in this school rests with the governance board.

## Dismissal

Once the decision to dismiss has been taken, the governance board will dismiss the teacher with notice, (*Voluntary Aided, Foundation and Foundation Special schools only).*

## Appeal

If a teacher feels that a decision to dismiss them,or other action taken against them*,* is wrong or unjust, they may appeal in writing against the decision within five daysof the decision,setting out at the same time the grounds for appeal. Appeals will be heard without unreasonable delay and, where possible, at an agreed time and place. The same arrangements for notification and right to be accompanied by a companion will apply as with formal capability and review meetings and, as with other formal meetings, notes will be taken and a copy sent to the teacher.

The appeal will be dealt with impartially and, wherever possible, by managers or governors who have not previously been involved in the case.

The teacher will be informed in writing of the results of the appeal hearing as soon as possible.

## General Principles Underlying This policy

### ACAS Code of Practice on Disciplinary and Grievance Procedures

Part B of the policy will be implemented in accordance with the provisions of the ACAS Code of Practice.

### Confidentiality

The appraisal and capability processes will be treated with confidentiality. However, the desire for confidentiality does not override the need for the headteacher and governance board to quality-assure the operation and effectiveness of the appraisal system. *Schools to say here how they might achieve this, for example, the headteacher or appropriate colleague might review all teachers’ objectives and written appraisal records personally, in order to check consistency of approach and expectation between different appraisers. The headteacher might also wish to be aware of any pay recommendations that have been made.*

### Consistency of Treatment and Fairness

The governance board is committed to ensuring consistency of treatment and fairness. It will abide by all relevant equality legislation, including the duty to make reasonable adjustments for disabled teachers. The governance board is aware of the guidance on the Equality Act issued by the Department for Education.

### Definitions

Unless indicated otherwise, all references to “teacher” include the headteacher.

### Delegation

Normal rules apply in respect of the delegation of functions by governance boards, headteachers and local authorities.

### Grievances

Where a member of staff raises a grievance during the capability procedure the capability procedure may be temporarily suspended in order to deal with the grievance. Where the grievance and capability cases are related it may be appropriate to deal with both issues concurrently.

### Sickness

If long term sickness absence appears to have been triggered by the commencement of monitoring performance at any stage of the procedure or a formal capability procedure, the case will be dealt with in accordance with the school’s absence policy and will be *(e.g. referred immediately 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 monitoring and/or formal procedures to continue during a period of sickness absence.

### Monitoring and Evaluation

The governance board and headteacher will monitor the operation and effectiveness of the school’s appraisal arrangements. This will include ensuring that the arrangements minimise the impact on workload for all parties involved.

### Retention

The governance board and headteacher will ensure that all written appraisal records are retained and stored in a secure place in line with their Retention and Disposal Policy

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**Contents of Support Staff Appraisal Scheme**

(If you are viewing this document online, click on the headings below to jump to the relevant section)

[1.Introduction 13](#_Toc464408022)

[2. What is the performance appraisal scheme? 13](#_Toc464408024)

[3.The appraisal cycle 14](#_Toc464408025)

[4.Preparing for appraisal 15](#_Toc464408026)

[5.Roles and responsibilities – Checklist 16](#_Toc464408027)

[6.The importance of objectives/goals 18](#_Toc464408028)

[7.The performance rating scale 19](#_Toc464408029)

[8.Differentiating performance: principles 20](#_Toc464408030)

[9.Differentiating performance: guidelines 21](#_Toc464408033)

[10.Ratings and incremental progression 21](#_Toc464408034)

[11.Developing skills and potential 21](#_Toc464408035)

[Appendix 1 - Appraisal meeting 23](#_Toc464408036)

[Appendix 2 - Differentiating performance guidelines 24](#_Toc464408037)

[Appendix 3 - Performance rating in specific situations 26](#_Toc464408038)

1. **Introduction**

**The Support Staff Appraisal Scheme is open to all employees in schools that are not covered by school teachers’ pay and conditions**

This guide aims to help support staff employed in schools to get the best out of the performance appraisal scheme. The information in this guide is relevant for all support staff (**appraisees**) and their managers (**appraisers**). Teachers are covered under separate arrangements.

Performance management and appraisal are key commitments from an employer (the school) to its employees. They aim to support employees in understanding priorities, team and individual outcomes including ongoing personal development. They help everyone to see how they play their part in achieving school goals

This is important because it is key that employees have a ‘clear line of sight’ linking what they do with the goals or desired outcomes of the school.

It is important that all employees make a commitment to making the appraisal process a success and to making sure it is a two-way process that benefits them as employees and their managers.

1.
2. **What is the performance appraisal scheme?**
	1. Performance appraisal…
* is an employee and their manager agreeing outcomes and priorities for the coming year, linked to school goals.
* summarises and builds on all that the employee and their manager have planned and discussed during the year both formally and informally
* is linked to the School lmprovement and Development Plan, Staff Development Plan, most recent Ofsted Report and other relevant reports and plans

2.2 For Appraisees – appraisal provides the opportunity to…

* understand their role in helping the school achieve its goals
* have clearly set out expectations and priorities for their performance
* record their achievements, strengths and successes
* receive and discuss feedback from the manager about how the appraisee is doing in their work
* give feedback to their manager
* discuss workload and priorities
* get support and coaching from their manager on new or challenging areas of work
* plan learning and development and discuss career aspirations.

2.3 For Appraisers – appraisal provides the opportunity to…

* ensure employees are clear about their role, outcomes and priorities in their work.
* celebrate individual and team successes and strengths
* agree a set of coherent, motivating objectives/outcomes for the team, so everyone is working to achieve the same or aligned outcomes
* link each individual’s work to the ‘bigger picture’ of the School,
* set aside time with each member of the team for a two-way constructive conversation.
* ensure that people have a clear idea of how their job performance is viewed, based on feedback and evidence not only from their manager but also customers (internal, external) and partner organisations (e.g. parents, suppliers)
* get feedback on management style and how individual employees feel they can best be supported

1. **The appraisal cycle**

Appraisals should take place on an annual basis. Because there is a link between performance and incremental progression, the appraisal cycle needs to be set such that any need to withhold an increment can be identified in advance of the annual increment date of 1st July. This is likely to mean that the appraisal cycle will start with a formal meeting around April (to discuss performance over the past year and agree objectives for the coming year) with documentation being completed by 31 May.

Discussions at the appraisal meeting will be followed up by:

1. **Completion of the previous year’s appraisal form (F324)**, reflecting the end of year review and recording the appraisee’s performance rating (1-4)
2. **Setting up a new appraisal form (F324) for the coming year**, recording objectives and learning and development priorities

*Appendix 1* summarises how to complete the two appraisal forms in the appraisal meeting.

Where an employee is being supported at the formal stage of the *Support Staff Capability P329* the decision may be taken by the Headteacher to withhold the next annual salary increment (where one would otherwise be payable). The Headteacher must formally advise the employee by the end of April that the increment will be withheld and will need to notify the Educator Solutions HR Services of the decision by the end of June.

**3.1 Appraisal Process Flowchart G324b**

For a detailed overview of how the appraisal process works and the people, steps and timeframes involved, take a look at the *Appraisal Process Flowchart* *G324b.*

**3.2 Reviewing progress throughout the year**

A mid-year appraisal review should normally take place after about 6 months. It is important however that appraisal objectives, performance in the role and learning and development needs are reviewed regularly during the year.

These review meetings are an opportunity to reflect on how things are going, to review progress and priorities, set new ones (if appropriate) and discuss particular work issues and learning needs. Performance may be as much about attitude, personal style and approach to work as it is about achieving objectives, so this should also be discussed in the round.

**Where performance is likely to be assessed at Level 1 and 2**, it is particularly important that this is discussed over the course of the year. Any appraisee not fully meeting the requirements of the job should be advised of any improvements or developments needed to give them best opportunity to achieve a Level 3 (or higher) assessment in future.

1. **Preparing for appraisal**

The paperwork that the appraiser and appraisee will need to prepare for the appraisal meeting is:-

* The appraisee’s job description and person specification
* The previous year’s Appraisal Form
* A new Appraisal Form for the coming appraisal year (F324)
* The school’s Improvement and Development Plan and/or any other relevant documents that identify priorities relevant to the appraisee’s role
* The Appraisal Preparation Form F324a

Both appraiser and appraisee should prepare in advance and:

* Review outcomes / objectives set at the last appraisal and progress made with these
* Seek feedback (internal and external)
* Recognise and celebrate successes and strengths
* Consider what behaviours or other factors contribute to or get in the way of success in the job
* Identify things that may not have gone so well and the key learning points
* Consider opportunities for self-development and learning needs
* Start to think about next year’s outcomes and priorities

**Appraisee preparation for appraisal**

Appraisees should remember that appraisal is a discussion about their performance. For appraisal to be most effective, appraisees will need to prepare, by reflecting on and gathering evidence of their performance and taking an active part in discussions.

**The Appraiser**

The appraiser will be a nominated manager, which may be the Headteacher, Business Manager, SENCO, Head of Department, Member of SLT, HLTA or other line manager– who for the purposes of this document will be referred to as “manager” or “appraiser”.

**The Reviewing Officer**

The Reviewing Officer will take an overview of all support staff appraisals in the school or an identified area of the school (e.g. a department in a high school). They will check for consistency across appraisals and monitor quality. The role of Reviewing Officer could be undertaken by the Headteacher unless the Headteacher is the Appraiser, in which case the role of Reviewing Officer could be undertaken by a nominated governor or deputy head.

1. **Roles and responsibilities – Checklist**

|  |
| --- |
| **Manager’s Role** |
| Prepare effectively and in good time for the appraisal meeting. Seek evidence from different sources regarding the appraisee’s performance and strengths |
| Seek development opportunities to enhance personal skills as an appraiser for delivering an effective appraisal if required  |
| Encourage the appraisee to view the appraisal as a two-way process and facilitate the meeting in a way that enables full participation from the appraisee |
| Provide helpful, constructive and evidence-based feedback to the appraisee |
| Acknowledge and celebrate achievements and strengths |
| Address any areas where performance is not meeting the required standard and provide support to help the appraisee to develop/improve skills. Identification of these should not come as a surprise to the appraisee at the appraisal meeting. |
| Agree clear outcomes with the appraisee that fit with the school’s goals and objectives |
| Offer learning and development opportunities that support the appraisee to achieve their objectives and that suit their learning style. Consider work allocation, mentoring or coaching as well as ‘courses’ to help people develop  |
| Proactively seek feedback from the appraisee on the process, including the appraiser’s own management approach and style |
| Manage the administration and paperwork efficiently which can be found on Schools Peoplenet.  |

|  |
| --- |
| **Employee’s Role** |
| Prepare effectively and in good time for the appraisal meeting – see Appraisal Preparation Form (F324a) on Schools’ PeopleNet  |
| Be open to receiving feedback on performance or behaviours and take this constructively. Do not take offence but be prepared to listen |
| Use the appraisal for honest and constructive self-assessment and to engage with feedback |
| Acknowledge and celebrate achievements and strengths |
| Address any areas of poor performance and identify how skills can be developed/improved |
| Participate in objective setting and report back on progress during the year |
| Think creatively about how knowledge/ skills could be increased and how these could be shared with colleagues  |
| Provide helpful and constructive feedback to the appraiser on their management style |
| Complete paperwork in a timely manner |

|  |
| --- |
| **Reviewing Officer’s Role** |
| To take an overview of all appraisals in the school/area of the school  |
| As appropriate, and prior to the appraisals, discuss with managers any particularly high or low ratings that are anticipated in their proposed performance assessments for their team members so that the school is aware of issues it may need to consider |
| Read and sign off each individual appraisee’s appraisal form |
| Check for consistency and a coherent set of SMART outcomes that support the school’s goals and aims |
| Monitor the quality of the appraisal in general  |
| Ensure equity and fairness – e.g. look at and ‘sense check’ the distribution of ratings across whole teams once appraisals are completed  |
| Give comments and feedback to appraisers and share good practice |
| Complete paperwork in a timely manner – remember that a lot of effort will have gone into the appraisal from the manager and employee, so please ensure you allow the process to be completed by adding your comments/signing and returning paperwork as soon as possible |
| Follow the process agreed regarding submission of completed forms |
| In the case of a Level 1 appraisal rating, ensure that this is referred to Educator Solutions HR Services without delay so that any payroll actions can be taken in a timely way |

1. **The importance of objectives/goals**

For employees to give their best at work, they need clear goals for the period ahead, backed up by support, development and feedback. Research indicates that having clear goals improve performance by at least 30%.

**The bigger picture…**

A goal is especially motivating when we understand the ‘bigger picture’ and context of the outcomes which they are helping to achieve for the school. This is a useful discussion to have during the appraisal meeting, making the connections with the work of the employee and the school’s goals and priorities.

**The main benefits of goals are that they enable us to:**

* Work towards shared outcomes, so that everyone knows what they are seeking to achieve together
* Focus effort to make sure we don’t waste resources and effort
* Measure progress and achievement
* Challenge people to do the best they can.

**Guidance for appraisers – outcome-focussed goals and playing to people’s strengths**

When thinking of goals for an appraisee, it will be helpful for the appraiser to start by considering and discussing with them the outcomes needed. Clear goals motivate people by helping them to see how they fulfil their job purpose, and what impact they have on the work of the team and the School.

It might be helpful to discuss what steps can be taken along the way to achieving the overall outcome.

In some jobs these objectives or steps will need frequent review – say, every two to three months – owing to the current pace of change.

The appraisee’s strengths should also be considered – what they do best, what parts of the role most fulfil and motivate them – and discuss how they can use their strengths to achieve their objectives.

**SMART goals**

SMART is a tool that provides a framework for managers to set goals:

**S** - Specific - Clear and unambiguous

**M** - Measurable - How will you know/see that the objective has been achieved?

**A** - Achievable - Can it be realistically achieved by the appraisee with their current skill set or with development, and within the given timeframe?

**R** - Relevant - Relevant to the needs of the business and to the individual

**T** - Time bound - When will it be achieved by?

Why bother being SMART? This simple formula is valuable because it:

* Provides a simple, consistent structure to help include all the essential elements of an effective objective
* Gives a universal method for setting objectives
* Keeps us focussed!
1. **The performance rating scale**

Formal performance ratings are given at the end of a review period, and it is especially important that they are accurate and consistently applied.The rating awarded at annual appraisal discussions, in most cases, will reflect the whole year's discussion and feedback. **There should be no surprises at appraisal – where there are concerns about performance, these will have been highlighted during the year and appropriate actions already put in place. In cases of significant or ongoing concern, that action may include support under the Support Staff Capability Procedure.**

Where a person is new to a role or is undergoing training, due consideration should be given when a rating is applied (as it also should when setting goals at the start of the review period).

These are the four ratings:

**4 Exceeding requirements of the job**

**3 Fully achieving the requirements of the job**

**2 Achieves some requirements of the job but improvement required**

**1 Not meeting job requirements**

**What happens if the appraiser and appraisee cannot agree on a performance rating?**

The meeting should be adjourned for a few days to allow both parties time to reflect. This may be all that is required for agreement to be reached. If an impasse remains, all differences need to be documented and communicated to the Reviewing Officer for review and resolution. The Reviewing Officer will review the issues raised and determine whether the whole process has been applied in accordance with the principles underpinning the scheme. No further appeal beyond the review by the Reviewing Officer is available.

It is everyone’s responsibility to seek mutual understanding and agreement.

1. **Differentiating performance: principles**

This section guides the appraiser in differentiating performance – that is, assessing how well someone achieves the requirements of the job, which are defined by the person’s job description, and the objectives/ outcomes agreed with the employee at their last appraisal (and reviewed with them during the year).

Performance focuses on the end results, agreed outcomes and the job specific behaviours the employee needs to display in order to carry out their role.

Essentially, the appraiser is rating performance against the stated goals and outcomes and whatever an employee has been required to deliver.

The appraiser should use the full range of the rating categories as appropriate, so they make the process meaningful and credible for team members. The more specific and evidence-based the assessment, the more confident the appraiser will feel about it, and the easier it will be to handle questions and challenges about judgements made.

If the appraiser finds it difficult to make an assessment of an appraisee, the section below may prove useful.

1. **Differentiating performance: guidelines**

*Appendix 2* shows examples of how an appraiser might distinguish the different categories of a person appraisee's performance. The examples are intended to aid judgments, which the appraiser should make in line with the principles above. They are generic examples, and the appraiser will need to translate them into the working world of the appraisee.

Appraisers should ensure that any appraisal ratings are determined in an equitable manner, in accordance with the principles outlined above. However there will be situations where it is not possible to assess an appraisee either against the full requirements of the job, or for the full 12 month period. Further guidance on how to approach such situations is set out in *Appendix 3* e.g. new starters, periods of long-term absence, employees with a disability.

1. **Ratings and incremental progression**

Under Norfolk County Council’s appraisal scheme (for non-school employees), there is a direct link between the appraisal performance rating and incremental progression. The Fit for the Future collective agreement introduced in August 2012 requires that employees achieving a Level 1 or Level 2 rating do not benefit from incremental progression. This element of the collective agreement, however, *does not* extend to school employees.

For support staff in schools, annual increments continue to be automatic (where an employee is not at the maximum point of their grade) unless the employee is being supported through the Support Staff Capability Procedure. There would be a clear expectation that any employee being supported in the capability procedure would have a Level 1 appraisal assessment but it is the Capability Procedure rather than the appraisal assessment that determines whether an increment should be withheld.

1. **Developing skills and potential**

To help achieve the goals and objectives, the appraiser and appraisee may together identify learning and development needs.

The appraisal is also an excellent opportunity to discuss career aspirations and plans and to explore creative ways in which the appraisee can enhance their skills, broaden their experience and work towards their future career goals.

Any agreed learning and development needs should be recorded on the appraisal form.

**Meeting learning and development needs**

Formal development programmes/activities are one way to meet needs. Coaching, mentoring, observation, job shadowing, allocation of work, interactive packages and reading are also very effective ways of developing skills and these should be explored.

**Appraisal skills for managers**

Conducting an appraisal requires skill and it is recognised that in order for everyone to get the best out of the appraisal process, support and guidance is needed. Appraisal, together with regular ongoing feedback, is key to managing performance – that is, motivating people to perform at their best, recognising their efforts, and showing how their work contributes to delivery of the school’s core role – so it is important that it is being carried out effectively.

The first port of call for advice and support on appraisal for an appraiser is the Reviewing Officer, who should be able to guide the appraiser through the process and coach them to deliver effective performance management, not just at appraisal time but throughout the year. In addition, there is a range of further support available to you:

**Guidance and information on Schools’ PeopleNet**

* FAQs (Frequently asked questions) relating to performance management and appraisal
* Reading the guidance from the manager’s or employee’s perspective under ‘Managing your team’s performance’
* The Coaching Toolkit – this will particularly help with setting objectives and creating development plans

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**Appendix 1 - Appraisal meeting**

Two-way discussion between

**Appraisee and Manager**

**Looking Back…**

Review performance over the last year:

* Achievement of objectives/outcomes
* Other contributions over and above objectives/outcomes
* Learning and development
* Summary of performance

Confirm overall performance assessment and rating (1-4)

**Looking Forward…**

Agree targets, objectives and outcomes that link to School goals

**Looking Forward…**

Agree learning & development needs.

**Record summary discussions in**: **Section 4 End of year summary of performance** inthe Appraisal Form

**Section 5 Overall performance assessment** in the Appraisal Form

**Section 2 Agreed objectives for the year ahead** in the Appraisal Form

**Section 3 Personal Development Plan for the year ahead** in the Appraisal Form

**Appraiser and appraisee comments and signatures**

Agree at the meeting who/when to write up the appraisal forms.

Add comments and sign before forwarding to the Reviewing Officer for comment and signature

Refer to the **Appraisal Process and Monitoring Flowchart G324b** on Schools’ PeopleNet for full details of all steps within the appraisal process.

**Appendix 2 - Differentiating performance guidelines**

**How to use this table:** The table below provides generic examples to help you distinguish between the different performance ratings. It is not designed to be used as a ‘tick box’. Use it as a set of prompts to aid your judgment in assessing performance in the job as a whole, including specific goals or objectives. The examples are broad and you will need to translate them into the working context of your own staff.

| ***1. Not meeting job requirements*****-Significant improvement in performance needed** | ***2. Achieves some requirements of the job but improvement needed*****- Developing or inconsistent****performance** | ***3. Fully achieving the requirements of the job*****- Good performance** | **4. *Exceeding requirements of the job*****- Outstanding performance** |
| --- | --- | --- | --- |
| Has performance issues in most or significant aspects of the job | Performs some aspects of the job to an acceptable standard but needs to improve in some job-critical aspects too | Can perform every aspect of the job really consistently and to a high standard – however that is defined | Can do all in the Level 3 box, **and** think about implications at the next level and make adjustments, plans or recommendations accordingly |
| Meets none or very few of the outcomes/objectives agreed although they had the resources and support to do so | Meets some of their objectives/outcomes. Does not achieve some objectivesWhere objectives/goals are not met, this is a frequent and/or significant occurrence, and is as a result of individual performance rather than other factors.  | Meets their objectives and does everything that they are expected to do, and in the required way.Where objectives/goals are not met, these are the exception and as a result of external factors rather than individual performance. | Goes beyond level 3 and does things that haven't been asked for which move the organisation or the department/service forward, breaking new ground |
| Focuses more on difficulties and problems, sometimes makes excuses | Focuses on delivering only certain things. Loses sight of some objectives. | Focuses on delivering what has been agreed to the best possible level | Thinks ahead and uses initiative to address issues and drive things forward before being asked to |
| Tends to deliver work late, over budget or to an unsatisfactory level | Delivers some work to time, budget or customer satisfaction but inconsistently | Delivers to time, budget and to satisfaction of customers | Exceeds customer expectations by faster response or earlier delivery than expected |
| Tends to stop at obstacles | Does not always follow things through | Follows most things through  | Follows things through consistently despite setbacks or problems |
| Tends not to consider the wider context  | Does some of what has been asked but can miss the wider context  | Does fully what has been asked and considers the wider organisation/service and/or team | Takes on projects in the broader interest of the department or the whole organisation/service/team. |
| Behaviours for role not demonstrated to required level – gaps and concerns identified | Behaviours not necessarily consistently demonstrated and / or still developing in role | Displays key behaviours expected for this post / level and how job is achieved  | Displays exceptional performance around key behaviours and how job is achieved |
| Requires more supervision than the role should need  | Able to work with minimal supervision most of the time, may need support with more complex tasks | Able to work largely unsupervised in all except the most complex tasks or those outside usual scope of job | Works unsupervised in all parts of the job, even in complex or new aspects |
| Shows little interest in own development and learning or updating knowledge or skills | Shows some commitment to own development and improvement | Attends learning and development as agreed, reviews own knowledge and skills and plans own development opportunitiesGood level of self awareness | Shows an ongoing commitment to their own learning, professional and personal development, proactive in keeping up to date with new skills, and shares these Excellent level of self awareness |

**Appendix 3 - Performance rating in specific situations**

**Appraisal goals/priorities changed during the year**

There may be circumstances where factors outside the employee’s control mean it was not possible for them to achieve some objectives, eg a project or piece of work is not progressed further or there has been a change in work priorities or objectives. In such circumstances managers should exercise appropriate judgment and assess performance against the other work tasks and activities carried out.

**Adjusted/limited appraisal goals**

There may be circumstances in which someone is given limited goals – e.g. a new starter will have fewer initial objectives – and the performance assessment will take this into account. The appraiser will be assessing performance against that limited set of objectives, if that is what has been agreed for a legitimate reason. Similarly, if the school has adjusted the appraisee’s job for any reason, for example as a reasonable adjustment on the grounds of disability, the appraisee should then be assessed only against what they have been given to do.

**New employees**

New employees may be given limited goals and have fewer initial objectives – the performance assessment should take this into account.

Managers should assess performance against the job role as delegated to the employee up to that point in time, rather than against the full job description if they have not been asked to undertake the full role eg during induction or probationary period.

It is expected that where the employee is a new entrant to the school and subject to a probationary period, any performance issues should be highlighted and addressed through the model Probation Policy (P113) and Procedure (P113a) in the same way that the Support Staff Capability Procedure will be applied for any support staff employee who is not subject to a probationary period.

Managers should note that employees who, at 1st July, do not have six months employment in their post since their appointment or promotion or the regrading of their post, will be eligible for their first increment six months after their appointment promotion or the regrading of their post rather than on 1st July (in accordance with the MRS Agreement).

**Periods of long-term absence**

Employees may be absent for a significant period during the appraisal assessment period for a number of reasons e.g. maternity, adoption or surrogacy leave, long-term sickness absence, periods of unpaid leave, secondment to another school. It may be that the employee is recently returned to work or they are currently absent but were at work at some point during the performance appraisal year. In such circumstances, the approach should mirror that for new employees above i.e. the employee should be assessed on the basis of an agreed range of fewer objectives and limited goals appropriate to the period of time they have been present at work.

Where the employee has been absent for the whole appraisal year for any reason, e.g. on maternity, adoption or surrogacy leave, unpaid leave, long term sickness or secondment, will have their performance assessment based on the previous year’s outcome.

**Employees with a disability**

It is not appropriate to discuss reasonable adjustments within the appraisal meeting – this should be dealt with separately. Where reasonable adjustments have been identified but not implemented in the workplace, and this has impacted detrimentally on the employee’s performance, the overall assessment rating needs to be adjusted to take account of this.

Similarly, if the appraisee’s job has been adjusted for any reason, for example as a reasonable adjustment on the grounds of disability, the person’s performance should be assessed against the adjusted job.

In all cases, managers should ensure that they have a clear, documented evidence base to support the performance assessment reached during the appraisal.

**Temporary staff**

For staff who are on temporary/fixed term contracts for medium to long periods, the expectation is that an appraisal should be completed.

**Agency workers**

Whilst an appraisal should not be carried out for agency workers, in order to support their development it would be appropriate to have a discussion with them about their performance in the role they are covering where they have been on assignment with the School for some time, and this is continuing.

For any other aspects relating to agency staff, contact Educator Solutions HR Services for advice on 01603 307760 or HRenquiry@educatorsolutions.org.uk .

1. *In Foundation Schools, Voluntary Aided Schools and Foundation Special Schools, the governance board is the employer but the power to dismiss can be delegated to the head teacher, to one or more governors, or to one or more governors acting with the head teacher. In Community, Voluntary Controlled, Community Special, and Maintained Nursery schools, the power to determine that the member of staff should no longer work at the school can be delegated in the same way as above but it is the local authority (as the employer) that actually dismisses staff (or – for those who work in more than one school – requires them to cease to work at the school).* [↑](#footnote-ref-1)