

Sheringham Woodfields School



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APPRAISAL POLICY AND PROCEDURE (SUPPORT STAFF)

Approved by SMT: 26 th September 2023	Approved by Staff: 3 rd October 2023	Approved by Governors: 12 th October 2023
Next Review date: Autumn 2025	Person(s) responsible for review: Head Teacher	

The Governing Body of Sheringham Woodfields School have adopted this appraisal policy and will ensure it is reviewed bi-annually.

This policy and procedure applies to all support staff employees. This policy details the appraisal system for support staff employed in schools. The support staff appraisal scheme is open to all employees in schools that are not covered by school teachers' pay and conditions.

Unlike teaching staff, there are no regulations or local or national agreements regarding appraisals for support staff. This policy provides a framework to assist in the application of an appraisal system.

Performance management and appraisal supports everyone in understanding and achieving school goals and individual outcomes, including ongoing personal development. They ensure everyone understands how their job relates to these objectives through their individual objectives.

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 both managers and the people they manage.

For an overview of how the appraisal process works and the people, steps and timeframes involved, please see the *Appraisal process and monitoring flowchart G324b*.

1. Application of the policy

The policy applies to all support staff employed by the school, except those on contracts of less than one term, and those who are subject to action under the Formal Capability Procedure.

2. Purpose

Having a performance appraisal scheme ensures employees are clear about their role, outcomes and priorities in their work. It is a chance to agree a set of coherent, motivating objectives/goals, which align with the school improvement and development plan, the staff development plan and the most recent Ofsted report, along with other relevant reports and plans. Appraisals give employees a clear idea of how their job performance is viewed, based on feedback and evidence not only from their Headteacher or manager but also pupils and parents and partner organisations (e.g. suppliers) where applicable.

The performance appraisal scheme will be issued by the Governing Board with the Headteacher responsible for overseeing and ensuring correct implementation.

All appraisals should be conducted in accordance with the school's equal opportunities policies and procedures.

Equal Opportunities and Scope

The school expects employees to adhere to this policy in line with the school's obligations under equality legislation. Headteachers must ensure that all reasonable adjustments or supportive measures are considered to allow equality of access and opportunity regardless of age, gender, ethnicity, sexual orientation, disability, faith or religion, gender identity, pregnancy or marital status. The Governing Body is committed to ensuring consistency of treatment and fairness in the operation of appraisal.

3. Links to school improvement, school self-evaluation and school development planning

The school improvement plan and the school's self-evaluation statement are key documents for the appraisal process.

All appraisers are expected to ensure the alignment of appraisees' objectives with the school's priorities and plans. The objectives should also reflect appraisees' professional aspirations.

4. Incremental progression

As Sheringham Woodfields School adopted the MRS (Modern Reward Strategy) agreement, it will provide automatic increments to their support staff employees (where the employee is not already at the top 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 awarded.

The appraisal cycle will start with a formal meeting around April/May (to discuss performance over the past year and agree objectives for the coming year) with documentation being completed by 31 May. Where increments are withheld 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. If an employee's rating means that they will not get an increment it should be made clear to them that their increment will be withheld.

5. Quality assurance

The school has determined that the Head Teacher will delegate the appraiser role for some or all staff for whom they are not the line manager. In these circumstances, the Head Teacher/Senior Leadership Team member (Reviewing Officer) will moderate all the appraisal reports to check that the plans recorded in the statements of staff at the school:

- are consistent between those who have similar experience and similar levels of responsibility
- comply with the school's performance appraisal policy and the requirements of equality legislation
- ensures that the person undertaking the role of appraiser has relevant experience and receives appropriate training and support

For roles and responsibilities specific to the appraiser, appraisee and reviewing officer see appendix 1.

6. Appraisal cycle

The appraisal cycle will start with a formal meeting around April/May (to discuss performance over the past year and agree objectives for the coming year) with documentation being completed by 31 May. However, where an employee is subject to the Capability Procedure, and may not receive their annual increment, the appraisal should be completed by April, with the documentation being completed by 31 May. This gives time in advance of the annual increment date of 1st July. If an employee's rating means that they will not get an increment, it should be made clear to them that their increment will be withheld.

Discussions at the appraisal meeting will include:

- a) **completion of the previous year's appraisal form** (Performance Appraisal Form F324), reflecting the end of year review and recording the appraisee's performance rating (1-4)
- b) **setting up a new appraisal form (F324) for the coming year**, recording objectives and learning and development priorities

Where an employee is being supported at the formal stage of the capability procedure for support staff (**Capability procedure for support staff**) 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.

Staff that are employed on a fixed term contract of at least one term but less than one year, will have their appraisal in accordance with the principles underpinning the provisions of this policy. The length of the cycle will be determined by the duration of their contract.

Where a member of staff starts their employment at the school part-way through a cycle, the Head Teacher shall determine the length of the first cycle for that member of staff, with a view to bringing their cycle into line with the cycle for other staff at the school as soon as possible.

Where a member of staff transfers to a new post within the school part-way through a cycle, the Head Teacher shall determine whether the cycle shall begin again, new objectives are set and whether to change the appraiser.

Where a member of staff is absent owing to illness or maternity part-way through a cycle or is employed on a part-time basis, the objectives shall be adjusted so that they are proportionate.

7. Objective Setting

Objectives will be set at the appraisal meeting using form F324. The objectives set will be rigorous, challenging, achievable, time-bound, fair and equitable in relation to staff with similar roles/responsibilities and experience, and their relevant standards.

They will have regard to what can reasonably be expected of any member of staff in that position given the desirability of the appraisee being able to achieve a balance between the time required to discharge their professional duties and the time required to pursue their personal interests outside work.

They shall also take account of the member of staff's professional aspirations and they should be such that, if they are achieved, they will contribute to improving the progress of pupils at the school.

The appraiser and appraisee will seek to agree the objectives but where a joint determination cannot be made the appraiser will make the determination.

At Sheringham Woodfields School

- All support staff, will have no more than 3 objectives, depending on their role and the nature of the objective.
- Unless the objectives have been modified after a mid-cycle review to reflect changed circumstances, at the end of the cycle, assessment of performance against an objective will be on the basis of the performance criteria set at the beginning of the cycle.
- The appraisal cycle is annual, but on occasions it may be appropriate to set objectives that will cover a period over more than one cycle. In such cases, the basis on which the progress being made towards meeting the performance criteria for the objective will be assessed at the end of the first cycle and will be recorded in the planning and review statement at the beginning of the cycle.

8. Reviewing progress throughout the year

8.1 Mid-term appraisal review

This 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.

8.2 Observation

Where appropriate and practical, observation of work practice can be a useful performance tool both as a way of assessing staff performance in order to identify any particular strengths and areas for development the appraisee may have. If observation is applied as a tool for performance assessment it should be carried out in a supportive way by those with knowledge of the appraisee's work and appropriate and timely verbal and/or written feedback should be given.

8.3 Annual Assessment

Appraisal is an assessment of overall performance of support staff and will be based on:

- details of the appraisee's objectives for the appraisal period in question;
- an assessment of the appraisee's performance of their role and responsibilities against their objectives.

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

The appraiser will meet with their appraisee informally once during the appraisal cycle year before the final planning and review meeting (mid-term review).

Following each appraisal, the appraisee will receive a written appraisal report and be granted the opportunity to give written comments on its content within five working days.

It is expected that a member of staff having difficulties with their objectives can raise this with their appraiser at any time.

9. The performance rating scale

The performance appraisal scheme will provide a written record of the overall performance of the person being appraised. Formal performance ratings are given at the end of a review period, and it is especially important that they are accurate and consistently applied, especially if the school decides to withhold increments for low ratings. The rating awarded at annual appraisal discussions, in most cases, will reflect the whole year's discussion and feedback.

NB. 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 this scheme or instigating the schools' **Capability procedure for support staff**.

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).

There are five ratings (see appendix 2 for details of how to achieve these ratings):

Level 4: Exceeding the requirements of the job.

Level 3b: Fully achieving the requirements of the job - good consistent performance and adding value

Level 3a: Fully achieving the requirements of the job - satisfactory performance

Level 2: Achieving some requirements of the job but improvement required

Level 1: Not meeting job requirements

There should be an explicit link with the school's **Capability procedure for support staff** where a Level 1 grade is being considered.

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.

10. 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 (*Appraisal form - support staff F324*)
- The school's Improvement and development plan and/or any other relevant documents that identify priorities relevant to the appraisee's role
- A model *Appraisal preparation form F324a* is available on HR InfoSpace.

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

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.

11. Differentiating performance

11.1 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.

11.2 Guidelines

Appendix 2 shows examples of how an appraiser might distinguish the different categories of an 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 4 e.g. new starters, periods of long-term absence and employees with a disability.

12. Reviewing Progress and Performance

When dealing with a member of staff experiencing difficulties, the objective is to provide support and guidance through the appraisal process in such a way that the member of staff's performance improves and the problem is, therefore, resolved.

Where it is apparent that a member of staff's personal circumstances are leading to difficulties at school, support will be offered as soon as possible, without waiting for the mid-term review or the formal annual assessment.

Where performance is likely to be assessed at Level 1 or 2, or the employee's performance has dipped noticeably, 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 3a (or higher) assessment in future.

Before considering applying the formal capability process it will be appropriate to consider taking action in the form of an informal discussion. This will help to determine if there is a problem and what it is.

Once the facts are gathered and the seriousness of the problem established there are three initial options:

- drop the matter (no case to answer or trivial problem)
- arrange structured, informal support - counselling (see appendix 3 for the process and guidance)
- commence the schools' *Capability procedure* *for support staff* and arrange a formal capability interview where there is insufficient acceptance of the problems or the problems are already serious.

If an appraiser identifies through the appraisal process, or via other sources of information, for example parental complaints, that the difficulties experienced by a member of staff are such that, if not rectified, could lead to capability procedures the appraiser, the Head Teacher, or a member of the leadership team, will, as part of the structured informal support within the appraisal process meet the member of staff to:

- give clear written feedback to the member of staff about the nature and seriousness of the concerns;
- give the member of staff the opportunity to comment on and discuss the concerns;
- give the member of staff at least 5 working days' notice that a meeting will be held to discuss targets for improvement alongside a programme of support, and inform the member of staff that they have the right to be assisted by a representative of an independent trade union or work place colleague, and at any future meetings where capability will be discussed;
- in consultation with the member of staff at the above meeting, an action plan with support will be established (for example coaching, training, in-class support, mentoring, structured observations, visits to other classes or schools or discussions with advisory personnel), that will help address those specific concerns;
- make clear how progress will be monitored and when it will be reviewed;
- explain the implications and process if no - or insufficient - improvement is made

The member of staff's progress will continue to be monitored as part of the appraisal process and a reasonable time given for the staff's performance to improve. This will depend upon the circumstances, with appropriate support as agreed in the Action Plan, in order that the aim of recovering and improving performance can be achieved. During this monitoring period the member of staff will be given regular feedback on progress and arrangements will be made to modify the support programme if appropriate.

If sufficient progress is made such that the member of staff is performing at a level that indicates there is no longer a possibility of capability procedures being invoked the member of staff should be informed of this at a formal meeting with their appraiser or Head Teacher. Following this meeting the appraisal process will continue as normal.

If no, or insufficient, improvement has been made over this period, the member of staff will be invited to a First Formal Capability Meeting under the Formal Capability Procedure to determine whether formal capability proceedings need to be commenced or the appraisal process remains in place. The member of staff may be assisted by a trade union representative or work colleague and will have at least 5 working days notice of the meeting.

13. Confidentiality

The whole appraisal process and the planning and assessment report generated under it, in particular, will be treated with strict confidentiality at all times. Only the Head Teacher and/or the appraisee's line manager will be provided with access to the appraisee's plan recorded in their statement, upon request, where this is necessary to enable the line manager to discharge their line management responsibilities. Appraisees will be told who has requested and who has been granted access.

Confidentiality does not override the need for the Head Teacher/Senior Leadership Team member to quality assure the process and effectiveness of the appraisal system. The personal development plan section of the appraisal form F324 will be made available to the CPD (Continuing Professional Development) co-ordinator/business manager.

14. Training and support

The school's CPD programme will be informed by the personal development plan section contained within the appraisee's appraisal statements.

The governing body will ensure in the budget planning that, as far as possible, appropriate resources are made available in the school budget for any training and support agreed for appraisees.

An account of the training and development needs of staff in general, including the instances where it did not prove possible to provide any agreed CPD, will form a part of the Head Teacher's annual report to the governing body about the operation of the appraisal in the school.

With regard to the provision of CPD in the case of competing demands on the school budget, a decision on relative priority will be taken with regard to the extent to which:

- (a) the CPD identified is essential for a member of staff to meet their objectives; and
- (b) the extent to which the training and support will help the individuals and school to achieve their priorities.

Members of staff should not be held accountable for failing to make good progress towards meeting their performance criteria where the support recorded in the appraisal report has not been provided. However, it is the responsibility of each member of staff to pursue their individual appraisal objectives and work in collaboration with other staff who they may seek to support them.

15. Appointment of appraisers for support staff

In the case where the Head Teacher is not the member of staff's line manager, the Head Teacher may delegate the duties imposed upon the appraiser, in their entirety, to the member of staff's line manager. In this school, the Head Teacher has decided that:

- For support staff the appraiser will be the most relevant member of the senior leadership team or their line manager.
- Appraisal will be quality assured and monitored by the Headteacher/senior leadership team.

Where a member of staff has more than one line manager, the Headteacher will determine which line manager will be best placed to manage and review their appraisal.

Where it becomes apparent that the appraiser will be absent for the majority of the cycle or is unsuitable for professional reasons the Head Teacher may perform the duties themselves or delegate them in their entirety to another line manager.

The appraisal cycle will not begin again in the event of the appraiser being changed.

All members of staff to whom the Head Teacher has delegated the role of appraiser will receive appropriate preparation and support for that role.

16. Retention of appraisal reports

Appraisal reports should be retained in a safe and secure manner for a period of 6 years and should then be destroyed.

15. Monitoring and evaluation

The governing body will monitor the operation and outcomes of appraisal arrangements.

The Head Teacher will provide the governing body with a written report on the operation of the school's appraisal policy annually. The report will not contain any information which would enable any individual to be identified. The report will include:

- the operation of the appraisal policy;
- the effectiveness of the school's appraisal procedures;
- staff's training and development needs;
- impact of appraisal on school improvement;
- measures to support or address any poor performance;

The Governing Body is committed to ensuring that the appraisal process is fair and non-discriminatory, and in accordance with our Equal Opportunities Policy.

The Head Teacher will, therefore, also report annually to the Governing Body (may be delegated to the personnel committee), in a confidential section, appropriate details of:

1. any representations on an individual or collective basis on the grounds of alleged discrimination under any of the categories above in relation to appraisal
2. cases, including the circumstances, where staff have not made satisfactory progress towards objectives
3. any instances where the training and development as set out in the personal development plan section within the appraisal statement has not been provided

Where the relevant personal data is available the Head Teacher will include an analysis of the cases specified in 1 to 3, above. However, the report will not enable any individual to be identified.

16. Review of the policy

The Governing Body will review the appraisal policy every 2 years at its first full Autumn Term meeting.

The Governing Body will take account of the Head Teacher's report in its review of the appraisal policy. The policy will be revised as required to introduce any changes in regulation to ensure that it is always up to date.

The Governing Body will seek to agree any revisions to the policy with the recognised trade unions having regard to the results of the consultation with all staff.

To ensure members of staff are fully conversant with the appraisal arrangements, all new staff who join the school will be briefed on them as part of their introduction to the school.

17. Access to documentation

Copies of the school improvement and development plan and any other associated documents can be obtained from the school office and on the confidential staff server. All appraisers must be familiar with all relevant documents before meeting with the appraisee.

18. Data Protection

When conducting an employee's appraisal, the school processes personal data collected in accordance with its data protection policy. Data collected by the school as part of the operation of the appraisal process is held securely and accessed by, and disclosed to, individuals only for the purposes of managing their appraisal. Inappropriate access or disclosure of employee data constitutes a data breach and should be reported in accordance with the school's data protection policy immediately. It may also constitute a disciplinary offence, which will be dealt with under the school's disciplinary procedure

19. Associated documents

- Performance Appraisal form F324
- Performance appraisal preparation form F324a
- Performance appraisal flowchart G324b
- Capability Procedure
- Capability guidance for support staff

APPENDIX 1 - ROLES AND RESPONSIBILITIES

Appraiser's Role
Prepare effectively and in good time for the appraisal meeting. Seek evidence from different sources regarding the appraisee's performance and strengths
Prepare clear objectives to agree with the appraisee and have a clear framework and criteria for appraising the appraisee which is consistent with all the employees you are appraising.
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 This should include storing appraisal records and recording employee's appraisal scores in a central but confidential place.
Employee's (Appraisee) Role
Prepare effectively and in good time for the appraisal meeting – can use <i>Appraisal Preparation Form (F324a)</i>
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 Education HR Services without delay so that any payroll actions can be taken in a timely way

SMART = Specific, Measurable, Attainable, Realistic and Timely

APPENDIX 2 - DIFFERENTIATING PERFORMANCE GUIDELINES

How to use this table: The table below provides generic examples to help you distinguish between the different performance levels of individuals and the allocation of a performance rating. 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. Use all the ratings as appropriate. **NB.** the options at Level 3 are to enable you to differentiate between 'satisfactory' and 'good' performance.

1 Not meeting job requirements Significant improvement in performance needed	2 Achieving some requirements of job but improvement needed Inconsistent performance	3a Achieving the requirements of the job Satisfactory performance	3b Achieving the requirements of the job Good consistent performance (and adding value)	4 Exceeding the requirements/expectations of the job Outstanding performance
Has performance issues in most or significant aspects of job	Performs some aspects of the job to an acceptable standard but needs to improve in <i>some job-critical aspects</i>	Performs all aspects of the core job consistently and to an acceptable standard - however that is defined	Can do all in the Level 3a box and regularly/often to a high standard - consistently high quality of work	Can do all in Level 3b column, 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 objectives Where objectives/goals are not met, is mostly as a result of individual performance rather than other factors.	Meets their core 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 are as a result of external factors rather than individual performance	Does all in the Level 3a box and frequently makes extra efforts to do everything they are expected to do.	Goes beyond Level 3b and does additional things that haven't been asked for which move the organisation or the department/service forward, breaking new ground. OR Makes an exceptional or unique contribution in support of team, service or whole school objectives

1 Not meeting job requirements	2 Achieving some requirements of job but improvement needed	3a Achieving the requirements of the job	3b Achieving the requirements of the job	4 Exceeding the requirements/expectations of the job
Significant improvement in performance needed	Inconsistent performance	Satisfactory performance	Good consistent performance (and adding value)	Outstanding performance
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 a good level	Focuses on delivering what has been agreed to the best possible level	Delivers more than has been agreed - exceeds expectations. Proactive - thinks ahead and uses initiative to address issues and drive things forward before being asked
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 generally to satisfaction of customers	Meets and sometimes exceeds customer expectations by faster response or earlier delivery than expected	Goes beyond Level 3 by consistently going the extra mile for customers and often suggesting/initiating improvements to quality of customer service
Tends to stop at obstacles	Does not always follow things through	Follows key requirements through as needed	Consistently follows things through to a high standard	Consistently makes extra efforts to follow things through despite setbacks or problems, and makes extra efforts to overcome the setbacks and problems
Tends not to consider the wider context	Does some of what has been asked but can miss the wider context	Does what has been asked	Does fully what has been asked and considers the wider organisation and/or team as well	Takes the initiative, takes on improvement projects in the broader interest of the department or the whole organisation/service/team.

1 Not meeting job requirements	2 Achieving some requirements of job but improvement needed	3a Achieving the requirements of the job	3b Achieving the requirements of the job	4 Exceeding the requirements/expectations of the job
Significant improvement in performance needed	Inconsistent performance	Satisfactory performance	Good consistent performance (and adding value)	Outstanding performance
Behaviours for role not demonstrated to required level - gaps and concerns identified	Required behaviours not necessarily consistently demonstrated	Displays most key behaviours expected for this post /level and how job is achieved	Does all in the Level 3a box and frequently 'goes the extra mile' to behave or achieve in the ways expected.	Displays consistently excellent performance around key behaviours and how job is achieved - seen as a role model
Requires more supervision than the role should need	At times needs a high level of supervision where they should be able to work unsupervised	Able to work largely unsupervised (as appropriate to the role) in all except the most complex tasks or those outside usual scope of job	Does all in the Level 3a box and is able and willing to take on new or more complex tasks with minimal supervision (as appropriate to the role)	Is proactive in taking on new or more complex tasks with minimal supervision (as appropriate to the role); is seen as expert or leader in their work
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	As in Level 3a box, and reviews own knowledge and skills and seeks own development opportunities. Good level of self-awareness	Shows ongoing commitment to own learning, professional and personal development, proactive in keeping up to date with new skills, and shares these. Excellent level of self-awareness

Notes

In any cases of potential Level 1 and Level 2 ratings, managers must address performance issues well in advance of the appraisal:

- managers will have been having regular and ongoing discussions which talked clearly about the performance issues, gaps, development support, and an improvement plan is in place
- this would be evidenced.
- there will have been explicit conversations - well in advance of the appraisal which indicated (and then potentially confirmed or not if there was improvement) that an increment would not be awarded.

Not able to rate

If you have a team member who has been absent from work for a significant part of the year, or who is new in role, you should read and use Performance rating in specific situations (see Appendix 4)

APPENDIX 3 - INFORMAL SUPPORT -COUNSELLING

Counselling refers to a period of discussion and support with an employee to assist them in bringing about improvement where concerns about performance have been established. Counselling should aim to encourage and help the employee improve. It should be conducted discreetly. Consideration should be given to any professional, personal or domestic difficulty which could be hindering the employee's performance. Explanations should be considered carefully and the matter dropped if it becomes evident that there is no case to answer. The employee must be told what is required, how performance will be reviewed, the review period, and that the formal capability procedure will commence if there is no improvement. The identified areas for improvement, targets, agreed support and monitoring should be written into F329 Personal Action Plan. It is desirable that the Headteacher or line manager and employee both sign the action plan.

Counselling should not go on too long. There are no hard and fast rules about timescales at the counselling stage and the length of time deemed appropriate by the Headteacher may be influenced by a number of factors. It will, however, be important to ensure that lengthy periods without improvement are avoided. It should allow sufficient time for less serious problems to be resolved but, if it is not effective in bringing about required improvement in a relatively short timeframe, the formal procedure should be used.

A written note of any counselling under this procedure should be kept for reference.

Discussion must not harass the employee or turn into a formal interview. If more serious concerns arise, or if the employee expresses discontent or indifference to the counselling/informal coaching, this should be discussed with the employee before an appropriate next step is determined. Helping the employee understand the situation they are in, particularly by sharing evidence and clarifying the extent of the gap between their current performance and where they need to be, can ensure co-operation on their part. If the employee's discontent displays itself through a lack of willingness to co-operate with the process, or if more serious concerns indeed arise during the counselling stage, the formal capability procedure can be commenced to deal with the matter in a more structured way.

After a period of review involving observation and assessment, a firm conclusion should be reached. The options will be either to:

- drop the matter; or
- continue under the counselling stage if good progress has been made under the counselling stage but not quite to the required level (i.e. where the Headteacher is confident that with a little more support the problems can be overcome in a short timescale);
- or convene a formal capability interview under the capability procedure.

APPENDIX 4 - 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, e.g. 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 e.g. during 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 school's Probation Policy and Procedure 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, shared parental leave or surrogacy leave, long-term sickness absence, periods of unpaid leave, secondment to another school. It may be that the employee has 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, shared parental leave 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 (more than one term) 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 Education HR Services for advice on 01603 307760 or by emailing HERenquiries@norfolk.gov.uk

APPENDIX 5 - Performance appraisal process flowchart

Please note all appraisals should be completed by 31 May. Where an employee is subject to the Support Staff Capability Procedure and may not be awarded an annual increment, or an Academy's policy is to withhold increments based on performance the previous year's appraisal documentation should be completed by 30 April.

Grey boxes indicate where the responsibility applies to two people.

Stage	Appraisee/Employee	Manager	Reviewing Officer	What's on HR InfoSpace
Preparation		Book meeting date, time, place. Notify appraisee (allow 2 weeks' notice).		
	Prepare for appraisal using the <i>Performance appraisal preparation form - support staff F324a</i>	Prepare for each appraisee's appraisal meeting using the <i>Performance appraisal preparation form - support staff F324a</i> . Review performance, taking into account feedback from customers (internal and external). Draft objectives in relation to the School Improvement and Development Plan, Staff Development Pan and the most recent Ofsted Report		F324a
		Discuss team's performance and next year's		

APPENDIX 5 - Performance appraisal process flowchart

Stage	Appraisee/Employee	Manager	Reviewing Officer	What's on HR InfoSpace
Appraisal meeting	<p>Complete previous year's appraisal form: Review previous year's performance: discussion, feedback, rating and reasons.</p>			
	<p>Set up new appraisal form for current year:</p> <ul style="list-style-type: none"> ▪ Agree objectives ▪ Include any common objectives which have been set by the school ▪ Agree competency objectives ▪ Identify learning and development needs and complete Personal Development Plan (with priorities and timescales) 			F324
	<p>Agree who will write up each part of the appraisal forms.</p>			

APPENDIX 5 - Performance appraisal process flowchart

Stage	Appraisee/Employee	Manager	Reviewing Officer	What's on HR InfoSpace
Comments & signatures	Manager and/or Appraisee write up appraisal forms.			
	Add comments and sign. Return form to manager.			
		Add comments and sign. Forward form to Reviewing Officer.	Have an overview of completions, quality and consistency within the service and consider any issues.	
			Add comments and sign. Return form to manager/appraiser.	
		Provide copies of both appraisal forms to appraisee: previous year's form and current year's form.		
Recording & monitoring appraisal completion		Ensure forms are filed in accordance with school requirements. Check with your manager if in doubt.		

APPENDIX 5 - Performance appraisal process flowchart

Stage	Appraisee/Employee	Manager	Reviewing Officer	What's on HR InfoSpace
Throughout the year	Review and discuss progress with appraisal objectives regularly throughout the year, giving appropriate feedback. Note significant information (e.g. progress, completion of any objectives) and changes (e.g. new or deleted objectives, additional learning and development need).			