

DEMAT Appraisal Policy

In the development of this policy consideration has been given to Equality and Diversity and Data Protection.

Equality and Diversity

DEMAT is committed to promoting equality of opportunity for all staff and job applicants. We aim to create a supportive and inclusive working environment in which all individuals can make best use of their skills, free from discrimination or harassment, and in which all decisions are based on merit. We do not discriminate against staff on the basis of age; race; sex; disability; sexual orientation; gender reassignment; marriage and civil partnership; pregnancy and maternity; religion, faith or belief. (Equality Act 2010 protected characteristics). The principles of non-discrimination and equality of opportunity also apply to the way in which staff and Governors treat visitors, volunteers, contractors and former staff members.

Data Protection

DEMAT will process personal data of staff (which may be held on paper, electronically, or otherwise). DEMAT recognises the need to treat it in an appropriate and lawful manner, in accordance with the Data Protection Act 1998 (DPA) (due to change to GDPR in May 2018).

	Version	Date
Date of EPM Model Policy used as a baseline by DEMAT	1	February 2012
Date approved by the DEMAT Personnel Committee	2	10/11/2017
Date on which the DEMAT consulted with the unions if applicable	2	30/11/2017
Effective date as determined by DEMAT	2	December 2017
Policy to be reviewed annually from date last approved by DEMAT Personnel Committee		October 2018

For all questions in relation to this policy please contact the DEMAT HR Manager on 01353 656760

Policy Contents

Page Number(s)

Policy for Appraising Performance for all DEMAT Staff

Definitions	3
Application of the Policy	3
Purpose	3

Appraisal

1. The Appraisal Period	4
2. Appointment Appraisers	4
3. Setting Objectives	4
4. Overall Performance of Teachers	4
5. Reviewing Performance	5
6. Drop Ins	5
7. Development and Support	5
8. Feedback	6
9. Transition to Capability	6
10. Annual Assessment	6-7

Appendices:

HTPM procedure

Performance Management Procedure for all staff excluding headteachers

Policy for Appraising Performance for all DEMAT Staff

Definitions

The term “Head teacher” also refers, where appropriate, to any other title used to identify the Head teacher or in the context of the central team DEMAT Senior Manager.

The term “employee” refers to any member of school staff employed to work at the school or in the central team.

The term “senior manager” refers to any member of the Leadership Group, as defined by the School Teachers’ Pay and Conditions Document, or a senior support employee in cases involving support staff, delegated by the Head teacher to deal with an appraisal and/or capability matter under these procedures. A senior manager may only make a decision to issue a sanction up to and including a final written warning.

If the Head teacher, following consultation with the Chair of Governors, considers that there is no senior manager to whom s/he can reasonably delegate a specific capability matter then the Head teacher will take the role of the senior manager for that specific case and the role of the “Head teacher” under this procedure will be performed by a “Disciplinary Committee” of the Governing Body consisting of not less than 3 governors, (except in circumstances provided for in the Secretary of State’s guidance on the Staffing Regulations), none of whom will have had previous involvement in the case.

The role of the Head teacher will be taken by appropriate governors as indicated where the appraisal and or capability being reviewed is that of the Head teacher.

“Lack of capability” is defined as a situation in which an employee fails consistently to perform his/her duties to a wholly satisfactory standard of performance over a period.

The term DEMAT refers to the Diocese of Ely Multi Academy Trust.

Application of the policy

This policy applies to all staff employed by DEMAT, except those on contracts of less than one term, those teachers undergoing induction (*i.e.* NQTs), and those have been transferred to the Capability Policy. The following definitions are included for reference purposes for both School and Central Team staff to enable clarity and transparency when applying this policy. If the appraisal process identifies concerns about the employee’s performance which it has not been able to address it will be necessary to move on to the capability policy to move forward formally

The appraisal policy will be a supportive and developmental process designed to ensure that all employees identified by the policy have the skills and support they need to carry out their role effectively. It will help to ensure that all employees are able to continue to improve their professional/employment practice and to develop in their respective roles.

Purpose

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

This policy does not form part of any employee’s contract of employment and it may be amended at any time following consultation. Parts of this procedure may vary, including any time limits, as appropriate in any case.

1. The appraisal period

- 1.1 The appraisal period will run for twelve months from 1 September to 31st August.
- 1.2 Employees 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 review period will be determined by the duration of their contract.
- 1.3 Employees will not normally be dismissed for performance reasons without previous warnings. However, in serious cases of gross negligence, or in any case involving an employee who has not yet completed their probationary period, dismissal without previous warnings may be appropriate.

2. Appointing appraisers

- 2.1 The head teacher will be appraised by a Senior Officer as defined by DEMAT, supported by the Chair of the local governing body.
- 2.2 The task of appraising the head teacher, including the setting of objectives, will be delegated to a Senior Officer as defined by DEMAT, supported by the Chair of the local governing body.
- 2.3 The head teacher will decide who will appraise other employees covered by the policy.

3. Setting objectives

- 3.1 The head teacher's objectives will be set by the Senior Officer as defined by DEMAT, supported by the Chair of the local governing body.
- 3.2 Objectives for each employee covered by the policy will be set before, or as soon as practicable after, the start of each appraisal period. The objectives set will be Specific, Measurable, Achievable, Realistic and Time-bound and will be appropriate to the employee's role and level of experience. The appraiser and employee will seek to agree the objectives but, if that is not possible, the appraiser will determine the objectives. Objectives may be revised if circumstances change.
- 3.3 The objectives set for each employee will, if achieved, contribute to the school's plans for improving the school's educational provision and performance and improving the educational opportunities of pupils at that school.

4. Overall Performance of Teachers

- 4.1 Before, or as soon as practicable after, the start of each appraisal period, a teacher will be informed of the standards against which that teacher's performance in that appraisal period will be assessed. Each teacher will be assessed against the set of standards contained in the document called "Teachers' Standards" published in July 2011 and any subsequent amendment thereof.
- 4.2 The head teacher or governing body (as appropriate) will need to consider whether certain teachers should also be assessed against other sets of standards published by the Secretary of State that are relevant to them.

5. Reviewing performance

5.1 Observation

- 5.1.1 This school believes that observation of classroom practice and other responsibilities for teachers, and support staff who support teachers in the classroom, is important both as a way of assessing performance to identify any strengths and areas for development they may have and of gaining useful information which can inform school improvement more generally.
- 5.1.2 All observations will be carried out in a supportive fashion in line with the lesson observation protocol (this will follow under separate cover).
- 5.1.3 Teachers' performance will be regularly observed but the amount and type of classroom observation will depend on the individual circumstances of the employee and the overall needs of the school.
- 5.1.4 Classroom observation of teachers will be carried out by senior or middle managers with QTS.
- 5.1.5 Employees who have responsibilities outside the classroom should also expect to have their performance of those responsibilities observed and assessed.

5.2 Support staff

- 5.2.1 Support staff appraisal will focus on the job description of the employee and the expected standards of performance will be made clear by the appraiser.
- 5.2.1 Observations of classroom support staff will be carried out in a supportive fashion in line with the lesson observation protocol (this will follow under separate cover).

6. Drop Ins

- 6.1 In addition to formal observation, the head teacher or other leaders with responsibility for teaching standards may "drop in" to evaluate the standards of teaching and to check that high standards of professional performance are established and maintained. The length and frequency of "drop in" observations will vary depending on specific circumstances.

7. Development and support

- 7.1 Appraisal is a supportive process which will be used to inform continuing professional development. The trust wishes to encourage a culture in which all employees take responsibility for improving their performance through appropriate development that is recommended and provided by the employer.
- 7.2 Teachers professional development will be linked to school improvement priorities and to the ongoing professional development needs and priorities of individual teachers.

8. Feedback

- 8.1 Employees will receive constructive feedback on their performance throughout the year and within 5 working days unless in exceptional circumstances after an observation has taken place or other evidence has come to light. Feedback will highlight areas of strength as well as any areas that need attention.
- 8.2 Where there are concerns about any aspects of the employee's performance the appraiser will meet with the employee to:
- give clear feedback about the areas of concern;
 - give the employee the opportunity to comment and discuss the concerns and establish the likely causes of poor performance and identify any training needs/support needed (e.g. coaching, monitoring, structured observation);
 - clarify the required standards and 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.
 - if it is appropriate to revise objectives, it will be necessary to allow sufficient time for improvement.
 - the amount of time will reflect the seriousness of the concerns; explain the implications and process if no, or insufficient, improvement is made.
- 8.3 When progress is reviewed, if the appraiser is satisfied that the employee has made, or is making, sufficient improvement, the appraisal process will continue as normal, with any remaining issues continuing to be addressed through that process.
- 8.4 The appraiser will keep a note of any concerns, the support given and the review judgement. A copy of this note will be given to the employee. (See 10.4 below). If required, this will inform any decision on transition to the capability procedure.

9. Transition to capability

- 9.1 If the appraiser, is not satisfied with progress, the employee will be notified in writing that the appraisal system will no longer apply and that his/her performance will be managed under the capability procedure. The employee will be invited to a formal capability meeting. The capability procedures will be conducted as outlined in the capability policy. Employees are encouraged to seek advice from their Trade Union representatives.

10. Annual assessment

- 10.1 The performance of each employee covered by the appraisal policy will be formally assessed in respect of each appraisal period.
- 10.2 In making any recommendation regarding the performance of the head teacher, the Senior Officer as defined by DEMAT will consult with the COO/CEO of DEMAT.
- 10.3 This assessment is the end 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 at least once a term.
- 10.4 The employee will receive an appraisal report as soon as practicable following the end of each appraisal period, and can comment in writing on the appraisal report.

- 10.5 All employees will receive their appraisal report as soon as practicable following the end of the appraisal period, in any case before the end of the summer term.
- 10.6 The appraisal report will include:
- details of the employee's objectives for the appraisal period in question;
 - an assessment of the employee's performance of their role and responsibilities against their objectives and, for teachers, against the relevant standards;
 - an assessment of the employee's training and development needs and identification of any action that should be taken to address them. The assessment of performance and of training and development needs will inform the planning process for the following appraisal period.
 - a recommendation on pay where that is relevant, the details of which are available separately in the Pay Policy.

Head teacher Performance Management Review

Policy Statement

The Diocese of Ely Multi Academy Trust (DEMAT) has high expectations for the performance of all its staff and is committed to improving the performance of individuals and teams. Performance Management enables there to be a focus on effective training and development to ensure job satisfaction, a development of skills and expertise and a clear path for career progression. This policy statement is intended to underpin the **Performance Management Review (PMR)** process to ensure that all employees experience fairness and consistency between staff with similar levels of responsibility and/or experience. It applies to all Executive Heads, Head teachers, teachers and support staff employed by the Trust except those who are subject to capability procedures. It is linked to the following DEMAT documents:

- Appraisal Policy and Capability Policy (applied at **TRUST** level)
- Pay Policy (**TRUST** level)
- Scheme of Delegation

Under the scheme of delegation (company checklist 39 – 41), the Local Board is responsible for the strategic development of the headteacher's PMR. **This will be undertaken by DEMAT Senior Officers supported by the Chair of Governors and as per the issued time line.**

All review panels must have a member who has completed training on head teacher performance management. The headteacher's performance review may not take place unless this is the case.

In all cases, the **DEMAT Senior Officer** will write up the review statement and attend a mid-year review with the headteacher. Dates for interim reviews must be set at the time of the HTPMR meeting.

Objectives must be linked to the context of the head teacher and the school. As far as possible, objectives will be agreed by all parties at the PMR but there may be exceptional circumstances where the Trust may exercise its discretion to set objectives. Where this is the case, the objectives will be deemed as a 'reasonable management instruction' to the head.

The annual review cycle runs from **July/August** but where a head teacher takes up their post part way through the school year, the length of the first cycle shall be determined as the time left to run until the start of the next annual cycle commences (i.e. the following **July/August**). An initial objective setting will take place as soon as possible after the commencement of employment.

Where a review panel wishes to make a recommendation to increase a head teacher's pay applications must then be made in writing to the **Personnel Committee**

All recommendations will be reviewed in the **autumn** term, and where successful, payments will be backdated to **the start of the academic year**. In all cases, recommendations must be based on robust and clear evidence of the head teachers.

The CEO may ask for further clarification of the criteria on which the recommendation for a pay increase has been made, in confidence, if the Personal Committee requires further clarification.

In all cases, the review panel is required to submit confirmation to the CEO/COO that the PMR process has been conducted fairly and is compliant (see appendix two).

Key information:

Name of School:	
Name of Headteacher:	
DEMAT SENIOR OFFICER	
Date of Performance Review	
Chair of Governors on Performance Review Panel	
Date of interim formal review meeting to be set at the initial review meeting NB there is an expectation that a formal review (to include the DEMAT Senior Officer) will take place at the half way point of the cycle.	

The Process

1. The Headteacher undertakes a self-evaluation against the previous objectives and the Headteacher Standards (Part 1) and provides advice about objectives for the coming year.
2. This self-evaluation and preliminary advice must be forwarded to the **DEMAT Senior Officer at least two weeks before** the review meeting. **A secure email address must be used for this purpose.**
3. The **DEMAT Senior Officer** will arrange to discuss with the headteacher the self-evaluation prior to completing the preliminary advice section. This will draw on evidence by the Headteacher (Part 1) and suggest future objectives (Part 3). The **DEMAT Senior Officer** forwards this to the Headteacher and Chair of Governors before the review meeting.
4. At the review meeting, the **DEMAT Senior Officer** meets initially with the Headteacher to review the evidence provided in the self-evaluation and the proposed objectives for the forthcoming year. The **DEMAT Senior Officer** then meets with the Headteacher and Chair of Governors to support the construction of the appraisal and planning statements for the forthcoming year.
5. Dates for intermediate reviews to be set up at the review meeting
6. The **DEMAT Senior Officer** compiles the final document, which is returned to the Headteacher and Chair of Governors. Once agreed, this becomes the annual planning and review statement for the Headteacher. The circulation of the completed final document is restricted to the headteacher and the Chair of Governors
7. The **DEMAT Senior Officer** sends a final confirmation statement to the Headteacher and the Chair of Governors to evidence completion of the process.
8. The CEO can ask to see the completed documentation
9. The recommendation of the review panel is noted by the Governing body
10. Once the recommendation is ratified, appendix letter one is sent to DEMAT

Part 1: Preliminary Evidence provided for the review statement – review of the appraisal objectives
For use by the Headteacher, Performance Review Panel DEMAT Senior Officer

Please record evidence to support completion of the objectives.

Objective 1	
Success Criteria	Headteacher self-evaluation including impact of actions
DEMAT Senior Officer 's preliminary evaluation (drawing on evidence from the headteacher's self-evaluation)	

Objective 2

Success Criteria

Headteacher self-evaluation including impact of actions

DEMAT Senior Officer 's preliminary evaluation (drawing on evidence from the headteacher's self-evaluation)

Objective 3

Success Criteria

Headteacher self-evaluation including impact of actions

DEMAT Senior Officer's preliminary evaluation (drawing on evidence from the headteacher's self-evaluation)

Objective 4

Success Criteria

Headteacher self-evaluation including impact of actions

DEMAT Senior Officer's preliminary evaluation (drawing on evidence from the headteacher's self-evaluation)

Additional preliminary evidence provided for the review statement – review of the headteacher’s overall achievements against the Four Domains of the National Standards of Excellence for Headteachers (January 2015)

*Please select a statement from each of the domains not addressed by your objectives and **provide evidence** of how you have demonstrated them over the past year, and the impact on standards.*

The National Standards of Excellence for Headteachers (January 2015):- the Four Domains	Domain statement	Evidence and examples of impact
Qualities and knowledge		
Pupils and staff		
Systems and processes		
The self-improving school system		

Review of learning and development

The Headteacher should identify and complete one or two examples of their own key learning and development activities prior to the review meeting.

Professional Development activity	Impact (How it has met your needs and how you have applied it)

Review of impact of resources available to support effective working

The Headteacher should review the impact of resources that have been made available to support effective working and work-life balance prior to the review meeting, to include dedicated headship time.

Resource	Impact

Part 2: Appraisal Statement – Final evaluation of the overall achievement of the Headteacher

Summary of performance against the specific appraisal objectives:

Summary of overall performance against The National Standards of Excellence for Headteachers:

Headteacher comments on receipt of the draft statement (optional)

Signed _____ (Headteacher)

Date _____

Signed _____ (DEMAT SENIOR OFFICER)

Date _____

SIGNED _____ (CHAIR OF GOVERNORS)

DATE _____

Part 3: Preparing for the forthcoming cycle 2017-2018

'The objectives set...must be such that, if they are achieved, they will contribute to (a) improving the education of all pupils at the school; and (b) the implementation of any plan the governing body designed to improve that school's educational performance. (School Teacher Appraisal Regulations 2012))

To be completed by all parties prior to the review meeting using the framework National Standards of Excellence for Headteachers.

Objectives should be drawn from the four domains of the National Standards of Excellence for Headteachers

Objectives should include:

1. **School-specific including**
 - a. **Related to improving standards and pupil achievement**
 - b. **Finance-related (working to ensure financial stability for the school)**
2. **DEMAT-related (as part of the DEMAT expectations)**
3. **Professional development-related**

Headteacher's suggestions to the Review Panel - priorities and areas for objectives for 2017-2018
DEMAT Senior Officer & Chair of Governors recommendations- priorities and areas for objectives for 2017-2018

Part 4: Planning statement for 2017-2018 Performance Management Review objectives. To be constructed and agreed at the review meeting

'The objectives set...must be such that, if they are achieved, they will contribute to (a) improving the education of all pupils at the school; and (b) the implementation of any plan the governing body designed to improve that school's educational performance. (School Teacher Appraisal Regulations 2012))

Objective	Domain Statement	Success Criteria	Actions/Monitoring	Resources and support needed
<p>At the end of key stage 1 and 2 for 2018, pupils' progress from starting points is at least above average or improving and progress for pupils in vulnerable groups is at least in line with national or improving.</p>	<p>Domain 2: Pupils and staff (Related to improving standards and pupil achievement)</p>	<p><i>(Set specific success criteria pertinent to the school's current context)</i></p> <p>EYFS progress measure KS1 progress KS2 progress from end KS1 Pupil premium Send More able LAC</p>	<p>Interim tracking data shows that the results of teacher assessments of all pupils are in line with expectations and targets for achievement</p> <p>Interim tracking data shows that disadvantaged pupils are meeting national expectations for all pupils</p> <p>Interim tracking data shows that disadvantaged pupils are on target to achieve in line with other pupils in the school</p>	<p>Pupil Progress meetings.</p> <p>Pupil Asset data</p> <p>Monitoring reports</p> <p>Heads' reports to governors</p>
<p>The headteacher manages or maintains school finances responsibly, budgets and resources are planned for efficiently and proposed budgets balance or are within agreed DEMAT perimeters.</p>	<p>Domain 3: Systems and Processes (Finance related to ensure finance stability for the school)</p>	<p>Financial reports Short and medium term planning Effective management of staffing and resources Strategic deployment of resources</p>	<p>Financial reports to governing body and DEMAT. Strategic actions result in a decrease in deficit or increase carry forward.</p>	<p>Monthly budget reports</p>

<p>The school is on track to achieve an outcome of Good or better at the next Ofsted inspection.</p>	<p>Domain 4: The Self-improving school)</p> <p>(DEMAT related as part of the DEMAT minimum expectations)</p>	<p>The quality of teaching, learning and assessment is good or better, and where it is below good, this is being challenged by the headteacher, e.g.</p> <ul style="list-style-type: none"> -Inadequate teachers are given a support plan -RI teachers are given a professional development plan <p>The proportion of pupils achieving age related attainment across all year groups in reading, writing and maths is either in line with the 75% expectation or improving strongly.</p> <p>Pupils' work books show evidence of good or better progress over time.</p> <p>Lesson observations record an increase in the percentage of good to outstanding lessons</p> <p>Work scrutiny shows evidence of peer and self-assessment</p> <p>Monitoring shows that assessment and marking give pupils information on how to improve their work</p>	<p>Reports by the headteacher</p> <p>Notes/minutes of appropriate meetings, including staff and governors' meetings</p> <p>Notes/reports on pupil interviews</p> <p>Termly interim review by the governors involved in the Head teacher's appraisal</p> <p>Self-evaluation by the Head teacher</p> <p>Scrutiny of records by an external adviser/leadership and management consultant</p> <p>Scrutiny of books and other work by pupils</p> <p>Lesson observations and informal drop-ins</p> <p>Evidence of peer and self-assessment</p> <p>Headteacher's reports to governors</p> <p>Monitoring and self-evaluation reports</p> <p>Agenda/minutes of meetings, as appropriate</p>	<p>Agenda/minutes of meetings</p> <p>Notes of interviews</p> <p>Lesson observations</p> <p>Notes on book scrutinies</p> <p>Head teacher's self-evaluation</p> <p>Head teacher's reports to governors</p> <p>Relevant agenda and minutes of governors' meetings</p>
--	--	--	--	--

<p>The headteacher seeks and undertakes professional development opportunities.</p>	<p>Domain 1: Qualities and Knowledge (Professional development related)</p>	<p>CPD (be specific to school) to include: Staff wellbeing Work life balance Succession planning opportunities Wellbeing policy Mentoring programme New heads' induction</p>	<p>The headteacher will agree with the governing body what additional qualification is needed and decide a focus for the research The headteacher will meet interim deadlines for completing research and course-related work Interim measures show that improvement targets are being met in the area of need for the school</p>	
---	--	---	---	--

Monitoring arrangements and Interim appraisal review dates:

Signed _____ (Headteacher)

Date _____

Signed _____ (DEMAT Senior Officer)

Date _____

Signed _____ (Chair of Governors)

Date _____

**Performance Management Procedure
(All staff excluding Headteachers)
March 2017**

Guide for Appraisers and Appraisees

Contents

	Page No
1. INTRODUCTION	3
2. THE ROLES OF THE APPRAISER AND APPRAISEE	4
3. WORK PLANS	4-5
4. TERMLY REVIEW MEETINGS	5
5. THE ANNUAL REVIEW MEETING	6-7
6. PERFORMANCE RELATED PAY	8
Annex 1 PERFORMANCE MANAGEMENT SCHEME DOCUMENTATION	9-12

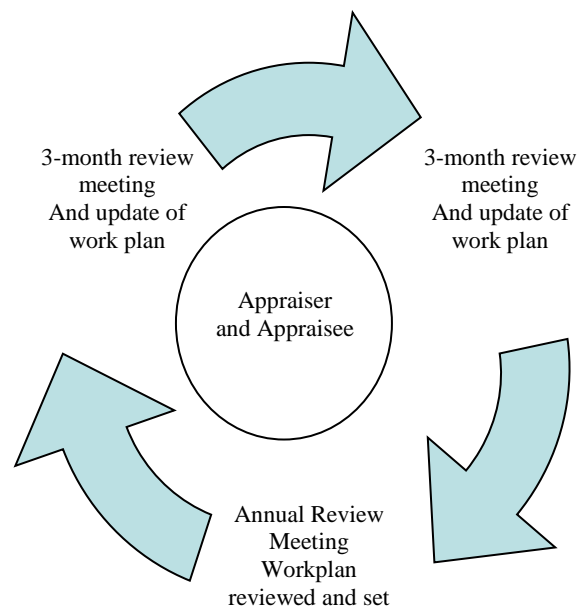
1. Introduction

1.1 Our Trust is committed to performance management to develop all staff and to improve the quality of service provided to pupils, parents and the school community. This policy covers all staff on short fixed term contracts of less than one term and those subjects to the probationary period. It sets a framework for all staff to agree and review priorities and objectives within the context of the trust's development plan and their own development needs.

1.2 The Performance Management Scheme

- Is a continuous annual cycle
- links performance and the drive for continuous improvement and service
- is a rigorous approach to defining, assessing and rewarding achievement in the workplace
- ensures strong links to the Trust priorities
- increases the individual's understanding of how their job adds value to the organisation

1.3 The Performance Management cycle is:



1.4 We will implement our performance management arrangements based on:

- fairness. We all need to be aware of the potential for unconscious discrimination and to avoid assumptions about individuals based on stereotypes; and
- equal opportunity. All support staff will be encouraged and supported to achieve their potential through agreeing objectives, undertaking development and having their performance regularly assessed.

2 The Roles of the Appraiser and Appraisee

- 2.1 The role of the Appraiser is to lead the process. The role of the Appraisee is to participate in and contribute to the process.
- 2.2 Employees are normally appraised by their immediate manager because those who delegate work and monitor performance are best placed to appraise performance.
- 2.3 It is the responsibility of each Appraiser to own the process and to communicate it to staff. The Appraiser is responsible for investing time, energy and skill so that:
- Everyone is made aware of the advantages of performance management
 - Staff are clear about what is involved and are committed to their job descriptions
 - The Appraisers are responsive to staff queries and concerns
 - There is a consistent approach by all Appraisers

3 Work Plans

- 3.1 A workplan
- Is a 'living' document to be discussed regularly by the Appraiser and Appraisee and revised as appropriate;
 - Is the primary documentation for Performance Management and the Annual review meeting. The workplan confirms the contribution required of the individual towards the achievement of the Trusts objectives, which are related to the Trust Business Plan.
 - contains
 - Objectives
 - Tasks/actions
 - Performance indicators
 - Deadlines for achievement
 - Evidence of achievement
 - Learning and development plan.

3.2 It is the Appraiser's responsibility to develop the workplan in consultation with the Appraisee. Objectives should reflect the key tasks and responsibilities of the individual's job and be challenging enough to raise performance. Easy to achieve objectives will not stimulate an individual or make best use of their potential. However, they must be realistic and balanced. The number of objectives set will vary according to the nature of the job and the level of responsibilities. Normally there will be between 4 and 8 objectives.

3.3 Discussions about the development of the workplan should be based around

- The Trust Business plan
- Existing workplans
- Job descriptions
- Employee experiences of what is important in their job.

It should help the Appraisee to:

- give commitment to the Trust Business Plan
- know how well they are doing
- look back on what has been achieved during the reporting period
- formally acknowledge and celebrate success
- create successful working relationships
- identify areas for improvement
- agree objectives for the next review cycle.

3.4 Where an individual has not achieved an objective it is important to establish the reasons for non-achievement since those reasons may inform future decisions and actions and the development of learning and development plans.

4 Developing Staff

4.1 To ensure that staff development is directly linked to objectives on a collective and individual basis the Performance Management Scheme includes the following elements:

- Learning and development activity to support workplan delivery
- Review of learning and development undertaken in terms of quality, impact on service and value for money at individual and school level

5 Termly Review Meetings

- 5.1 Termly Review meetings are normally short one-to-one discussions between the Appraiser and Appraisee. Meetings should be regular (at least termly), specific and positive to reinforce successful behaviour and encourage change where necessary. All staff need continuous feedback, praise and reassurance especially when they have done well and worked hard. Ways should be found to publicise and celebrate significant achievements.
- 5.2 Areas of under-achievement should also be discussed, but in a climate of support and encouragement rather than blame or punishment. Means of addressing under-achievement should be continually sought. However, there needs to be clarity that continued poor performance will be addressed via the capability procedure. Performance Management will be suspended if the capability procedure is invoked.
- 5.3 A brief note of the meeting and work observation outcomes should be retained by the Appraiser and Appraisee.

6 The Annual Review Meeting

- 6.1 The annual review meeting is a structured discussion held between Appraiser and Appraisee. Its purpose is to assess overall job performance during the review period and find ways to improve and extend performance.
- 6.2 The meeting will have eight features:
 - 1 Share assessment of performance relating to the whole of the previous cycle - normally 12 months. These assessments will be based on the workplan, work observation and the review meetings of the period in question.
 - 2 Recognise and celebrate achievements.
 - 3 Identify areas where performance could be improved and agree ways of achieving this.
 - 4 Determine how the Appraiser can assist the individual to improve performance and where necessary improve the Appraiser's own input to the process.
 - 5 Establish a workplan for the following 12 months.

- 6 Agree a learning and development plan
- 7 Plan a programme of regular review meetings and work observation leading up to the next annual review meeting.
- 8 A written record of the meeting should be retained by the Appraiser and Appraisee.

6.3 Effective Annual Review meetings have:

- Sufficient time and notice for both parties to prepare, and exchange information
- Proper preparation and identification of relevant information to support observations and assessments
- Discussion conducted in spirit of support and encouragement
- No surprises, initially problems should be raised during review sessions throughout the year
- Enough time allocated to do justice to the discussion
- An uninterrupted discussion which is private
- An open and honest two-way discussion with the individual taking the lead
- Documented conclusions and actions for both parties
- Commitment to any actions arising.

6.4 The record of the discussion and outcome of the Annual Review Meeting should be completed either at the meeting or shortly afterwards. The record should be countersigned by the Appraiser's own Manager. This will ensure an independent view of the process and should ensure consistency and fairness in the operation of the scheme. The record is maintained on the employee's Personnel file.

6.5 Relevant information from Performance Management documentation may be taken into account in making decisions and in advising those responsible for taking decisions, or making recommendations about performance, pay, promotion, dismissal or disciplinary matters.

7 Performance Related Pay

- 7.1 The line manager will consider Performance Management outcomes in making recommendations on salary in accordance with the trust's pay policy. This may include recommending the withholding of an increment for service which is less than satisfactory, or the awarding of an honorarium where the employee's performance exceeds that which could reasonably be expected and the employee has made a sustained and substantial contribution to the trust.
- 7.2 Where an individual is aggrieved about a salary decision there is right of appeal in accordance with the trust's pay policy.

PERFORMANCE MANAGEMENT SCHEME

The Workplan

Date last revised:

Personal Details:

Name:

Job Title:

Period from:

To:

Job Title

Other details:

SIGNED: _____

(Post Holder)

SIGNED: _____

(Appraiser)

SIGNED: _____

(Appraiser's, Manager)

Date: _____

PERFORMANCE MANAGEMENT SCHEME

Objectives what you need to achieve, linked to business plan objectives	Task/Actions what you intend to do to achieve your objectives	Performance Indicators/Targets what you will use to measure how well you are achieving	Deadline for Achievement of Performance Indicators	Evidence of review/ Achievement/ Comments

PERFORMANCE MANAGEMENT SCHEME

Learning & Development Plan

Objective (linked to workplan)	L&D Required Method e.g. course	Date (planned/undertaken)	Key L&D Objectives	Expected Outcomes	L&D Outcomes*

* Were key L&D objectives met and Expected Outcomes achieved? If 'No', give reasons.



PERFORMANCE MANAGEMENT SCHEME

Performance Review including Annual Performance Review

Appraisee's Assessment (your own view of your successes, achievements, non-achievements against workplan)

Additional issues (secondment, learning and development, absenteeism etc.)

Assessment by Appraiser

Action required (agreed action points in order to deliver the workplan and learning and development activity)

SIGNED: _____ (Appraisee - Post Holder) Date: _____

SIGNED: _____ (Appraiser - Line Manager) Date: _____

SIGNED: _____ (Senior Manager –
Line Manager's, Manager) Date: _____