



West Norfolk  
Academies Trust

# **APPRAISAL AND CAPABILITY POLICY FOR ALL EMPLOYEES**

**Reviewed by: Trustees**

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**Consulted with recognised trade unions on 12 February 2024**

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## 1. Terms of Reference

1.1 This policy applies to all employees of the West Norfolk Academies Trust.

### Definitions

- **Executive Headteacher** also refers, where appropriate to any other title used to identify the Executive Headteacher or other member of the Senior Leadership Team (SLT) delegated to deal with the matter by the Executive Headteacher.
- **Headteacher** also refers, where appropriate to any other title used to identify the Headteacher or other member of the Senior Leadership Team (SLT) delegated to deal with the matter by the Headteacher.
- **Senior Manager/ Senior Leadership Team (SLT)** refers to any member of the Leadership Group, as defined by the School Teachers' Pay and Conditions Document, or a senior support manager in cases involving support staff, delegated by the Headteacher or Executive Headteacher, 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.
- **Employee** refers to any member of staff, teaching and support, employed to work for West Norfolk Academies Trust
- **Companion** refers to a person chosen by the employee to accompany them at a formal meeting, who shall be a trade union representative or a workplace colleague. The companion will be able to address the meeting in order to: put the employee's case forward; sum up the case; respond on the employee's behalf to any view expressed at the hearing; and confer with the employee. However, the representative will not usually answer questions on behalf of the employee but may do so with the agreement of the panel.
- **Lack of capability** is defined as a situation in which an employee fails consistently to perform their duties to a wholly satisfactory standard of performance over a period of time.
- **Trust/WNAT** refers to the West Norfolk Academies Trust.
- **School days** refers to working days not including school holidays

1.2 If the Executive Headteacher, following consultation with the Chair of Trustees, considers that there is no senior manager to whom they can reasonably delegate a specific capability matter then the Executive Headteacher will take the role of the senior manager for that specific case and the role of the "Executive Headteacher" under this procedure will be performed by a Committee of the Trustees consisting of not less than 3 Trustees, none of whom will have had previous involvement in the case.

1.3 The role of the Headteacher will be taken by the Executive Headteacher, or Trustees, as indicated where the appraisal and or capability being reviewed is that of the Headteacher, or the Executive Headteacher.

## 2. Purpose

2.1 This policy sets out the framework for:

- A clear and consistent assessment of the overall performance of employees covered by the Appraisal and Capability policy.
- Supporting employee development within the context of the school's plan for improving educational provision and performance.
- The standards expected of employees in their respective roles.

- The arrangements that will apply if employees fall below the levels of competence that are expected of them.

**2.2** This policy does not form part of any employee's contract of employment and it may be amended at any time following consultation. The Trust may also vary any parts of this procedure, including any time limits, as appropriate in any case.

### **3. Application of The Policy**

**3.1** The policy is in two separate sections.

**Part A** of the policy, which covers appraisal, applies to all teachers, including the Headteachers, Deputy CEO and Executive Headteacher, and all support staff employed by the Trust. The only exceptions are those on contracts of less than one term, those teachers undergoing induction (i.e. ECT's), those support staff subject to a probationary period and those who have been transferred to Part B of the policy.

**Part B** of the policy, which sets out the formal capability procedure, applies to all employees of the Trust (including the Headteachers and Executive Headteacher). Concerns about the employee's performance will have been identified under the appraisal process, but the employee has been unable to address these to a satisfactory standard.

## **Part A - Appraisal**

The Trustees require that all employees participate in the appraisal process. The Trustees are committed to developing the quality of education that the Trust provides and recognise the benefits individuals gain from reflecting on their work, setting targets to achieve and engaging with training and professional development opportunities.

The Trust's Appraisal Policy will be a supportive and developmental process designed to ensure that all employees 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.

### **1. The Appraisal Period**

- 1.1** The appraisal period will run for twelve months from September to August for all employees of the Trust. Appraisals will be completed as soon as practicably possible during the Autumn Term but no later than 31st October for Teaching Staff and 31<sup>st</sup> December for support staff, other than in exceptional circumstances.
- 1.2** Employees who are employed on a fixed term contract of more than a term but 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, and an employee's objectives whether teaching or support staff should take account of the length 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. In such cases, a fair and reasonable procedure will be followed that provides the employee with appropriate representation and a right of appeal.

### **2. Appointing Appraisers**

- 2.1** The Executive Headteacher and Deputy CEO will be appraised by the Trustees, supported by a suitably skilled and/or experienced external adviser, who has been appointed by the Trustees for that purpose.
- 2.2** Headteachers will be appraised by the relevant school's Chair of Governors, representation from the Trustees, the Deputy CEO and the Executive Headteacher.
- 2.3** All appraisers of teachers will be appointed by the Headteacher and will have qualified teacher status and relevant experience. The teacher's line manager or another senior person in the teacher's subject area will normally be their appraiser, unless there is mutual agreement for this role to be done by another.
- 2.4** All appraisers of support staff appointed by the Headteacher will have relevant experience. The member of support staff's line manager, or another senior person in the relevant area of employment will normally be their appraiser, unless there is mutual agreement for this role to be done by another.
- 2.5** If the appointed appraiser is unable to conduct the appraisal, an appropriately experienced member of staff will be appointed in their place. If legitimate concerns are raised about the choice of appraiser, these will be carefully considered and, if the Headteacher (or, in the case of the Headteacher the Executive Headteacher, or in the case of the Executive Headteacher or Deputy CEO, the Trustees) considers these concerns to be valid, an alternative appraiser will be offered.

### 3. Setting objectives

- 3.1 The Deputy CEO and Executive Headteacher's objectives will be set by the Trustees after consultation with the external adviser.
- 3.2 The objectives of Headteachers will be set by those set out in Section 2.2, after consultation with the external adviser.
- 3.3 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. Objectives will not be based on externally generated data and predictions, or solely on the assessment data for a single group of pupils. Objectives will be set in relation to robust assessment data. However, these will not be used in isolation and other factors will also be considered. 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.
- 3.4 The objectives set for each employee will, if achieved, contribute to the Trust's and/or their school's plans for improving educational provision and performance and improving the educational opportunities of pupils within the Trust. This will be ensured by quality assuring all objectives against the Trust and/or the school's strategic plan.
- 3.5 The appraiser has a duty to have regard to the work-life balance of the employee, Objectives will reflect this duty.

### 4. Overall Performance

#### Teachers

- 4.1 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. **Appendix D.**

#### Support Staff

- 4.2 Support staff appraisals will consider employee performance against the following expected key skills and behaviours:
  - **Integrity** – the employee demonstrates honesty, sound judgement and takes accountability for their actions.
  - **Positive Attitude to Work** – the employee demonstrates motivation and a good work ethic. They commit to keeping their skills up-to-date and reflective of current practice.
  - **Student Focus** – even where the role is not student-facing, the employee demonstrates an understanding of safeguarding, behaves appropriately within the school environment and understands that the Trust's key customers are its students
  - **Teamwork** – the employee works collaboratively with the rest of their team and the wider school community in a positive manner. They maintain strong and professional working relationships.
  - **Effective Communication** – the employee demonstrates the ability to communicate appropriately and clearly, using relevant methods.

## **5. Reviewing performance**

- 5.1 West Norfolk Academies Trust has Quality Assurance Documents, these are updated annually and shared with employees.
- 5.2 WNAT carries out Learning Walks, book scrutinies, data analysis and pupil voice as part of the Quality Assurance.
- 5.3 Teachers can request an observation. They should state to their line manager the element of Teaching and Learning that they would like to be observed and the reason.
- 5.4 Trainee teachers and ECT's will be observed in line with their training and relevant body requirements.
- 5.5 Where a member of staff is not performing to the expected standard and is placed on a support plan, observations will take place in line with their targets and recorded on the relevant documentation.

## **6. Development and Support**

- 6.1 Appraisal is a supportive process which will be used to inform continuing professional development. The school wishes to encourage a culture in which all employees take responsibility for improving their performance through appropriate development.
- 6.2 Employee professional development will be linked to Trust, School and departmental improvement priorities and to the ongoing professional development needs and priorities of individual employees.

## **7. Feedback**

- 7.1 Employees will receive constructive feedback on their performance throughout the year and as soon as practicable, after quality assurance checks have taken place, or other evidence has become known. Feedback will highlight particular areas of strength as well as any areas that need attention.
- 7.2 For all staff, in order to monitor progress and enable support where required, to help to ensure a successful appraisal outcome, there should be at least one interim appraisal meeting on the cycle and evidence of this meeting submitted as part of the evidence.
- 7.3 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, 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
  - explain the implications and process if no, or insufficient, improvement is made (e.g. that performance may be managed under the formal capability procedure and the impact on pay progression (for teachers) or salary increment (for support staff)
  - the amount of time will reflect the seriousness of the concerns; explain the implications and process if no, or insufficient, improvement is made.

## **Informal Support Plan**

**7.4** An informal support plan (**Appendix C**) will be implemented by the appraiser in consultation with the employee as a result of the feedback meeting in 7.3. This will include:

- the areas of concern;
- the required standards;
- the support measures to be provided;
- any revised objectives;
- the timescales for improvement and review.

**7.5** 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.

**7.6** If required, this will inform any decision on transition to the capability procedure.

## **8. Transition to Capability**

**8.1** If the appraiser is not satisfied with the progress, the employee will be notified in writing that the appraisal system will no longer apply and that their 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 in Part B of this policy.

## **9. Annual Assessment**

**9.1** The performance of each employee covered by the appraisal policy will be formally assessed in respect of each appraisal period.

**9.2** In assessing the performance of the Executive Headteacher, Deputy CEO and Headteachers the Trustees must consult the external adviser.

**9.3** This assessment is the end point to the annual appraisal process, but performance and development priorities will be reviewed and addressed, where appropriate throughout the year and specifically in the annual interim meeting (see section 7.2)

**9.4** Feedback will be received as soon as practicable following the end of each appraisal period, and employees will have the opportunity to comment in writing on their appraisal report.

**9.5** Teachers will receive their written appraisal reports by 31st October. Support staff, the Executive Headteacher, Deputy CEO and Headteachers by 31st December.

**9.6** 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
- Where relevant pay recommendations will be made by 31st October for teachers and by 31st December for support staff, Executive Headteacher, Deputy CEO and Headteachers. Pay recommendations will be considered at Trust level to ensure equity and consistency.



- 9.7** It is the responsibility of the appraiser to complete the appraisal paperwork in consultation with the employee. Objectives should reflect the key tasks and responsibilities of the employee's role and be challenging enough to raise performance. However, they must be realistic and balanced.
- 9.8** Where an employee has not achieved an objective, it is important to establish the reasons for non-achievement, since those reasons may inform future decisions, actions and development opportunities.
- 9.9** The annual appraisal meeting and development of objectives should be based around:
- Relevant department, school and/or Trust objectives.
  - Previous annual appraisal forms, where appropriate.
  - Job Descriptions and person specifications
  - Employee experience and feedback
- 9.10** The annual review meeting will be recorded using the relevant form see **Appendices A and B**

## **10. Conclusion of the Annual Review Meeting Process**

- 10.1** Following the annual review meeting, both the appraiser and employee will sign the appraisal form to agree it is a true reflection of the meeting and to agree the set objectives and learning and development opportunities.
- 10.2** Relevant information from the annual appraisal may be taken into account in matters related to performance, pay, promotion or disciplinary matters. Paragraph 10.5 contains more information related to pay.
- 10.3** The annual appraisal form is a 'living' document to be discussed as required by the appraiser and employee and revised as appropriate.
- 10.4** A copy of the annual appraisal form will be held on the employee's personnel file.
- 10.5** There is a right of appeal regarding salary decisions, in accordance with the Trust's Pay Policy.

## Part B - Capability Procedure

### 1. Formal Capability Meeting

- 1.1** This procedure applies only to employees about whose performance there are serious concerns that the appraisal process has been unable to address. If under Part A above, an employee's performance, is not wholly satisfactory, the Senior Manager, or another person with line management responsibility for the employee, will invite the employee to a formal capability meeting to discuss their identified poor performance as soon as possible.
- 1.2** The senior manager will write to the employee at least 5 school days in advance to inform them about:
- The date, time and place of the meeting;
  - The basic details of the concerns about the employee's performance;
  - The employee's right to be accompanied by a representative of their trade union, or a workplace colleague of their choice;
  - The titles of enclosed copies of any documents to be used at the meeting;
  - Names of any witnesses to be called;
  - Their right to call witnesses on their behalf;
  - The name and office of any adviser who will accompany the senior manager at the meeting

An extra copy, together with any enclosures, will be provided for their companion.

- 1.3** This meeting is intended to establish the facts. It will be conducted by a senior manager delegated by the Headteacher (or the Executive Headteacher for Headteachers, or the Chair of Trustees for the Executive Headteacher). The meeting will allow the employee 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.
- 1.4** The senior manager 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.
- 1.5** The senior manager may also adjourn the meeting if it is decided 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.
- 1.6** During the meeting, or any other meeting which could lead to a formal warning being issued, the senior manager will:
- Identify the poor performance, and, in the case of a teacher, identify which teacher standards are not being met
  - Ensure the employee is given an opportunity to ask questions, present evidence, call witnesses, respond to evidence and make representations
  - Establish the likely causes of poor performance including any reasons why any measures taken so far have not led to the required improvement
  - give clear guidance on the improved standard of performance needed to ensure that the employee can be removed from formal capability procedures. This may include the setting of new objectives that are focused on the specific area/s of poor performance that need to be addressed. It will include any success criteria that are appropriate and the evidence that will be used to assess whether or not the necessary improvement has been made

- identify whether there are further measures which may improve performance and explain any support that will be considered and planned to help the employee, e.g. in-service training, visits to other schools, discussion with appropriate colleagues or professionals
- 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 will be reasonable and proportionate, between four and ten weeks in normal circumstances, and will provide sufficient opportunity for improvement to take place. The length of time required will depend on the concerns raised with the employee, the nature of any support and training required, and sufficient time to establish whether performance has improved
- warn the employee formally that failure to improve within the set period could lead to a final written warning, which could then lead to their dismissal
- inform the employee of the right of appeal
- agree with the employee and any companion the date of the formal review meeting

**1.7** Notes will be taken of formal meetings and a copy sent to the employee and any companion. Where a first warning is issued, the employee will be informed in writing of the matters discussed in 1.6 above. They will also be informed in writing that failure to achieve an acceptable standard of performance (within the set timescale), may result in a final written warning, which could lead to dismissal if wholly satisfactory performance is not achieved, together with the time limit for appealing against the first written warning.

**1.8** If the concerns relate to a lack of capability that poses a risk to the health, safety or wellbeing of children, or is likely to result in serious damage to pupils' education, the shorter timescale may be appropriate. In such cases, the senior manager may exceptionally decide to issue a first and final written warning, if to do otherwise would expose students to serious risk in terms of their health, safety, well-being or educational prospects.

## **2. Sickness Absence and the use of this Procedure**

**2.1** It is important that sickness absence should not delay or avoid the use of formal capability procedures. It is in the interests of all parties to address concerns about performance without undue delay. Arrangements will normally be made to seek medical advice from an Occupational Health Adviser to assess the employee's health and fitness for continued employment at the school.

**2.2** Consideration will be given to whether poor performance may be related to a disability and, if so, whether there are reasonable adjustments that could be made to the employee's working arrangements, including changing the employee's duties or providing additional equipment or training. We may also consider making adjustments to this procedure in appropriate cases e.g. moving from this procedure to the Trust's Policy and Procedure for the Management of Sickness Absence to terminate the employment of the employee on the grounds of ill health.

**2.3** If an employee's medical condition is not serious enough to warrant a consideration of termination of employment on the grounds of ill health, the Occupational Health Adviser will normally be asked to assess whether an employee absent through sickness is fit enough to attend a meeting under this procedure. In the event that the employee is deemed not fit to attend a formal capability meeting they may present a written submission for consideration and/or be represented by a companion in their absence.

### **3. Performance Monitoring and Review Period Following a Formal Capability Meeting**

- 3.1** A performance monitoring and review period will follow the formal capability meeting. Formal monitoring, evaluation, guidance and support will continue during this period. Following this monitoring and review period, the employee will be invited to a formal review meeting (see paragraph 4 below), unless they have been issued with a final written warning, in which case they will be invited to a decision meeting (see Section 6 below).

### **4. Formal Review Meeting**

- 4.1** At least five school days before the date for the formal review meeting a written reminder will be given to the employee together with details of the meeting as set out in Section 1.2 above.
- 4.2** The formal review meeting will follow a similar procedure to that identified for the formal capability meeting as set out in Section 1.6 above.
- 4.3** If the senior manager (or the Executive Headteacher for Headteachers, or the Chair of Trustees for the Executive Headteacher) is satisfied that the employee has made sufficient improvement, the formal capability procedure will cease and the appraisal process will re-start where the employee is subject to Part A above.
- 4.4** In cases:
- where some progress has been made and there is confidence that more is likely, it may be appropriate to extend the monitoring and review period;
  - where no, or insufficient, improvement has been made during the monitoring and review period, the employee will receive a final written warning.
- 4.5** Notes will be taken at the formal review meeting and a copy will be sent to the employee and any companion.
- 4.6** Where a final warning is issued, the employee will be informed in writing that failure to achieve an acceptable standard of performance (within the set timescale), may result in dismissal and will be given information about the further monitoring and review period and the procedure and time limits for appealing against the final written warning. The date of the decision meeting will be agreed with the employee and any companion.
- 4.7** At this stage, rather than refer the matter to a decision meeting, consideration could be given to the employee being given a different range of duties or an alternative post. By agreement, this may include transfer to a post suited to the employee's capabilities. If this post is at a lower salary level, the substantive lower salary would apply.

### **5. Right of Appeal Against a Formal Written Warning**

- 5.1** If an employee feels that a decision to issue a first and/or final written warning, is wrong or unjust, they may appeal in writing against the decision
- 5.2** Appeals against a written warning shall be restricted to considering the reasonableness of the decision made by the senior manager, any relevant new evidence not previously available to the senior manager or any procedural irregularities. A statement giving the reasons for the appeal should be submitted to the Clerk to the Trustees within five school days of the formal written warning having been received.

- 5.3 All appeal hearings will be held as soon as possible after receipt of the appeal at an agreed time and place.
- 5.4 The appeal will be heard by the Trustee Panel. The number of Trustees on the Panel will not be less than two. The panel may be advised by a person engaged for the purpose by the Trustees. The panel can either confirm the warning, reduce a final warning to a warning, or cancel the warning. The employee will be informed in writing of the results of the appeal hearing as soon as possible.
- 5.5 The same arrangements for notification and the right to be accompanied by a companion will apply for an appeal hearing as for the formal capability and review meetings and, as with those meetings, notes will be taken and a copy sent to the employee and any companion.
- 5.6 Pending any appeal, the employee will be expected to continue to work in accordance with targets set for the next stage of the procedure and their progress towards the achievement of these targets may be monitored during this period.

## **6. Decision Meeting**

- 6.1 At least 5 school days before the date of the decision meeting a reminder will be given in writing together with details of the meeting as in Section 1.2 above. The meeting will be conducted by the Executive Headteacher (or a Trustee Panel for Headteachers and the Executive Headteacher).
- 6.2 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 where the employee is subject to Part A above.
- 6.3 If progress has been made and there is confidence that wholly satisfactory performance will be achieved by a short extension, it may be appropriate to extend the monitoring and review period rather than to dismiss. The final written warning will be extended for a short, specified assessment period.
- 6.4 If performance has remained unsatisfactory, a decision will be made that the employee will be dismissed. The employee will be informed in writing 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 whether the notice is to be served or there will be pay in lieu of notice, and the right of appeal.

## **7. Right of Appeal Against a Decision to Dismiss**

- 7.1 The employee has a right of appeal to the Trustees against a decision to dismiss.
- 7.2 The Appeals Panel shall consist of no less than 2 Trustees, none of whom will have had any previous involvement in the case
- 7.3 The employee's notice of appeal should be sent to the Clerk to the Trustees within five school days of receipt of the written decision to dismiss, setting out the grounds of appeal.
- 7.4 Appeal hearings should be held as soon as possible after receipt of the appeal and will be conducted in the same way as appeals referred to in Section 5 above.

## **8. Notice of Dismissal**

- 8.1 Following a decision to dismiss, the employee shall be notified in writing that they are to be dismissed, whether with notice or with pay in lieu of notice in accordance with the decision of the Executive Headteacher (or Trustee Appeal Panel).

**8.2** In the event that the Trustee Appeal Panel decides not to uphold the decision to dismiss, the employee shall be informed immediately and the notice of dismissal shall be immediately withdrawn.

## **9. Grievances Arising During the Procedure**

**9.1** Where an employee has a grievance against the way the senior manager has conducted the procedure, this will normally be dealt with under the appeals process set out above. However, in very exceptional circumstances, where the behaviour of the senior manager is the cause of the grievance, it may be appropriate to suspend this procedure for a short period until the grievance has been considered.

## **10. Trade Union Officials**

**10.1** Although normal performance standards must apply to an employee who is a lay trade union official, no disciplinary action, beyond an informal oral warning will be taken until the circumstances of the case have been discussed with the relevant professional trade union officer.

## **11. Confidentiality**

**11.1** Our aim is to deal with performance matters sensitively and with due respect for the privacy of any individuals involved. All employees must treat as confidential any information communicated to them in connection with a matter which is subject to this capability procedure.

**11.2** The employee and anyone accompanying the employee (including witnesses), must not make electronic recordings of any meetings or hearings conducted under this procedure. Failure to observe confidentiality could be a reason for disciplinary action under the Trust's Disciplinary Procedures for All Employees.

# **Appendix A**

## **Performance Appraisal – Teaching Staff Template**

## 1. The Performance Management Cycle

The Performance Management Cycle operates within each academic year, previous objectives must be reviewed and new objectives set by 31<sup>st</sup> October each year. The Headteachers then collectively moderate pay progression decisions across all four high schools/ all seven primary schools before each Headteacher takes their recommendations to the Pay Committee in early November.

## 2. Preparing for Performance Management Meetings

In preparation for the Performance Management meeting, line managers should ensure they have the following:

- Objectives sheet from 2022/23
- Review sheet
- Objective setting sheet for 2023/24
- Relevant quality assurance records such as work scrutiny and student performance data
- Target grades for examination groups in years 11 and 13 (Secondary)
- Target grades for all year groups (Primary)

Staff members should be given appropriate notice of Performance Management meetings so they can arrive prepared to discuss their previous performance and be ready to suggest future objectives.

## 3. Quality Assurance

Senior staff are expected to use their knowledge of standards gained from learning walks, work scrutiny, student performance and student voice to inform the discussions.

## 4. Lesson observations

Teachers may request a lesson observation for their own developmental purposes and lesson observations may still be needed where a concern has been raised.

## 5. Setting Objectives

Secondary schools within the Trust will use the themes below for setting objectives for the academic year 2023/24

### Main Scale Teachers

#### Objective 1: Student Progress

Please set an objective based on the FFTD data for each year 11/13 class taught. Teachers may opt for a joint objective with a colleague or group of colleagues in cases where rotations of students make this the most logical approach. Objectives should be worded as follows: ***To demonstrate best endeavour in supporting all students to achieve progress 0 or better.***

#### Objective 2: Continued Development of Evidence Based Pedagogy

To identify and address the next steps in being a teacher of SEND

#### Objective 3: Personal Development

Identify an area of your own practice and knowledge that you would like to develop further. [This should be linked to the school development priorities e.g. 'In the moment marking'.]



## **Middle Leaders**

### Objective 1: Raising Standards

Subject Leaders must have an objective based on student progress/attainment targets for all year 11/13 students taught within their subject. In addition, other areas of standards within their subject area such as behaviour and extra curriculum engagement could be considered.

### Objective 2: Continued Development of Evidence Based Pedagogy

Identify and address the next steps in developing all teachers as teachers of SEND within your area of responsibility. Subject Leaders should lead the development of this pedagogy within their subject. Year or KS leaders should develop the understanding of the pedagogical principles within their student groups.

### Objective 3: Leadership Development

Identify an area of your own leadership practice that you would like to develop further. (This should be linked to the school development priorities)

## **Teachers on the Upper Pay Scale [Post Threshold]**

Teachers on the Upper Pay Scale points U1 and U2 will be expected to demonstrate the sustained impact of their work. Teachers wishing to progress to point U3 will be expected to demonstrate the impact of their work at a whole school level. Teachers wishing to progress on the Upper Pay Scale should be able to evidence their work against the Post Threshold Standards as shown in **Appendix A**.

## **Primary schools within the Trust will use the themes below for setting objectives for the academic year 2023/24**

### Objective 1: Pupil progress

A Combined Reading, Writing and Maths target will be set for each year group. Where there are two classes per year group a combined target across the two classes will be set. In classes with more than one year group a target will be set for each year.

### Objective 2: Teaching and Learning

To be a teacher of SEND

### Objective 3 (**Teachers**): Developing Practice

To have a deep knowledge of the curriculum content in previous and future year groups and how these impact on standards

### Objective 3 (**Middle Leaders**): Leadership and Management

*New middle leader:*

To use the Trust QA documentation to effectively lead your subject across the school

*Experienced middle leader:*

To mentor a new subject lead within or outside of the Trust in order to ensure the subject is effectively lead and therefore continues to improve across the school

## **Assistant Headteachers/Phase Leaders**

### Objective 1: Pupil progress

To work with the Headteacher and Deputy Headteacher to support all year groups in reaching the national average expected standard and greater depth including GLD, Year 1 phonics, Year 2 and Year 6.

### Objective 2: Teaching and Learning

Support through mentoring and coaching, all teachers no matter of the level in order to ensure a consistently high standard of curriculum delivery

### Objective 3: Leadership and Management

To use the Trust QA documentation to challenge and support all year groups ensuring a high quality of education for all

When setting objectives Line Managers may find it useful to remember the acronym S.M.A.R.T to ensure all objective that they write are: Specific, Measurable, Achievable, Realistic and Time-bound and shown below.

#### **Specific**

- Do the objectives have a clear focus?
- Does the person know what is expected of them?
- Are the objectives relevant to the person's responsibilities and do they have a suitable level of challenge?
- Are they in plain English and with clearly defined terms?

#### **Measurable**

- Are there clear success criteria and/or outcomes?
- Do you know what success will look like? What evidence will need to be produced?
- Does a baseline already exist from which to measure progress?
- Who will be responsible for measuring the progress, and do they have the appropriate knowledge, skills and experience to do this?

#### **Achievable**

- Are the necessary resources available?
- Are relevant continuing professional development (CPD) opportunities available to support the person in achieving the objectives?
- Have you thought about limitations to achieving the objectives?
- Have the objectives been agreed?

#### **Realistic**

- Are the objectives possible within the context of the school and the individual?
- Does the person have the skills and experience to achieve the objectives?
- Can the objectives be amended if circumstances change?
- Do the objectives support the person's professional development?

#### **Time-bound**

- Is there a specified timeframe for the objectives?
- Have you considered interim milestones for monitoring progress?

## **6. Continuous Professional Development**

In the Training Needs box on the Objectives sheet record any areas of development that have been identified during the meeting that could be supported by additional training. Consider CPD in its widest context, for example the opportunity to observe good practice in school, elsewhere in the Trust or at another Trust, rather than solely external training.

## **7. Interim Review of Objectives**

At approximately the mid-point in the academic year Line Managers must meet with their team members to hold an interim review of the objectives set. In the box on the objectives sheet line managers should note progress made towards achieving each objective and any guidance given to aid the colleague in successfully achieving the objective.

**Review:**

Teacher's Name:				Position:					
School:				Line Manager:					
Scale: (circle as appropriate)	M1	M2	M3	M4	M5	M6	UPS1	UPS2	UPS3
TLR: (circle as appropriate)	TLR1			TLR2			TLR3		

**Targets set and evidence to support decision on whether these have been achieved**

TARGETS	EVIDENCE	ACHIEVED Y/N
1.		
2.		
3.		
4.		

Line Manager's Recommendation for progression: (circle as appropriate) YES / NO / Not eligible this year		New Scale:	
Line Manager's Comments:		Teacher's Comments:	
Signed:	Date	Signed:	Date

*Please note Teacher's will usually be expected to complete two years on each UPS scale point before being considered for progression to the next point.*

**Teachers' Standards:**

STANDARD		EVIDENCE	ACHIEVED Y/N
1	Set high expectations which inspire, motivate and challenge pupils		
2	Promote good progress and outcomes by pupils		
3	Demonstrate good subject and curriculum knowledge		
4	Plan and teach well-structured lessons		
5	Adapt teaching to respond to the strengths and needs of all pupils		
6	Make accurate and productive use of assessment		
7	Manage behaviour effectively to ensure a good and safe learning environment		
8	Fulfil wider professional responsibilities		
9	PERSONAL AND PROFESSIONAL CONDUCT		

Please see the *Teacher Standards Overview (Appendix D)* for more detail on each point.

**Objectives:**

Teacher's Name:	Position:
School:	Line Manager:

<b>OBJECTIVE</b>	<b>REQUIRED EVIDENCE</b>	<b>TRAINING NEEDS</b>	<b>INTERIM REVIEW COMMENT</b>
1.			
2.			
3.			

Teacher's Comment's (Optional):	Line Manager's Comments (Optional):
Signed: _____ Date: _____	Signed: _____ Date: _____ Review date – _____

Appendix A - Post Threshold Standards [Upper Pay Scale]

STANDARD		EVIDENCE	ACHIEVED Y/N
P1	Contribute significantly, where appropriate, to implementing workplace policies and practice and to promoting collective responsibility for their implementation.		
P2	Have an extensive knowledge and understanding of how to use and adapt a range of teaching, learning and behaviour management strategies, including how to personalize learning to provide opportunities for all learners to achieve their potential.		
P3	Have an extensive knowledge and well-informed understanding of the assessment requirements and arrangements for the subjects/curriculum areas they teach, including those related to public examinations and qualifications.		
P4	Have up to date knowledge and understanding of the different types of qualifications and specifications and their suitability for meeting learners' needs.		
P5	Have a more developed knowledge and understanding of their subjects/curriculum areas and related pedagogy including how learning progresses with them.		
P6	Have sufficient depth of knowledge and experience to be able to give advice on the development and well-being of children and young people.		
P7	Be flexible, creative and adept at designing learning sequences within lessons and across lessons that are effective and consistently well matched to learning objectives and the needs of the learners and which integrate recent developments, including those relating to subject/curriculum knowledge.		
P8	Have teaching skills, which lead to learners achieving well relative to their prior attainment, making progress as good as, or better than, similar learners nationally.		
P9	Promote collaboration and work effectively as a team member.		
P10	Contribute to the professional development of colleagues through coaching and mentoring, demonstrating effective practice, and providing advice and feedback.		

# **Appendix B**

## **Performance Appraisal – Support Staff Template**



<b>Employee Name:</b>		<b>Manager Name:</b>			
<b>Job Title:</b>		<b>School:</b>			
<b>Date:</b>		<b>Current Salary Point:</b>	<table border="1"> <tr> <td><b>Eligible to increment (Y/N)</b></td> <td></td> </tr> </table>	<b>Eligible to increment (Y/N)</b>	
<b>Eligible to increment (Y/N)</b>					

Review of previous objectives

<b>Objectives from last appraisal</b> <i>(completed by the manager prior to issuing form to employee)</i>	<b>Progress/comments – employee</b> <i>(complete before the appraisal and return to manager)</i>	<b>Progress/comments – manager</b> <i>(complete before the appraisal)</i>	<b>Objective met – Y/N</b> <i>(complete at appraisal)</i>

## Review of key skills and behaviours

Key Skill/Behaviour	Examples	Exceeds	Performs at required level	Falls below expected standard	Comments
<b>Integrity</b> - demonstrates honesty, sound judgement and takes accountability for their actions.	<ul style="list-style-type: none"> <li>Professional at all times</li> <li>Sets high standards by personal example</li> <li>Integrity, trustworthy, honest and open</li> <li>Demonstrates a commitment to equal opportunities</li> </ul>				
<b>Positive Attitude to Work</b> - demonstrates motivation and a good work ethic. They commit to keeping their skills up-to-date and reflective of current practice.	<ul style="list-style-type: none"> <li>Decisive, determined and self-confident</li> <li>Works effectively under pressure</li> <li>Passionate and caring</li> <li>Commitment to continued personal development</li> </ul>				
<b>Student-focus</b> - even where the role is not student-facing, the employee demonstrates an understanding of safeguarding, behaves appropriately within the school environment and understands that the Trust's key customers are its students	<ul style="list-style-type: none"> <li>Accessible and approachable</li> <li>Focuses on standards and believes that all students can succeed given the right opportunity and support</li> <li>deals with student safety and behaviour</li> <li>treats pupils with dignity, building relationships rooted in mutual respect</li> </ul>				
<b>Teamwork</b> - works collaboratively with the rest of their team and the wider school community in a positive manner. They maintain strong and professional relationships	<ul style="list-style-type: none"> <li>Excellent interpersonal skills</li> <li>works independently and as part of a team</li> <li>Learns from others</li> <li>Ambition for self and others</li> </ul>				
<b>Effective Communication</b> - demonstrates the ability to communicate appropriately and clearly using relevant methods	<ul style="list-style-type: none"> <li>Communicates messages at all levels clearly and concisely via all formats</li> <li>Good listening skills</li> <li>Respectful and friendly</li> <li>Maintains confidentiality</li> </ul>				

Objectives for forthcoming appraisal year

<b>Objective</b> <i>(employee and manager to bring ideas to appraisal for discussion and agreement - remember SMART objectives)</i>	<b>Success Criteria</b> <i>(complete at appraisal)</i>	<b>Reason for objective</b> <i>(relate objective to relevant department/school/Trust aims)</i>	<b>Training Required</b> <i>(yes/no/what/how)</i>

Employee wellbeing/ mental health

--

Employee's comments: *(complete after the appraisal, please note how you felt the appraisal went and any other comments)*

Manager's summary:

I agree that this form accurately reflects the contents of the annual appraisal meeting. I agree to the objectives and learning and development opportunities set out above.

Employee Signature:		Date:	
Manager Signature		Date:	

Has the Payroll Manager been informed of increment if applicable?

YES		NO	
-----	--	----	--

**Appendix C**  
**Informal Support Plan**  
**Template**

## Informal Support Plan

Employee Name:	Manager's Name:	Date of Planning Meeting:
Job Title:	Plan Term: <i>(usually 4-10 weeks)</i>	Final Review Date:

Background: *(Why is an informal support plan needed at this point? Detail of any previous meetings/discussions regarding capability/performance)*

### Record of Discussion

Manager's feedback:

Employees Comments:

### Key Points

### OBJECTIVE 1:

Teachers' standard/s or key skill/behaviour the objective relates to	Reason standard/s are not currently reached	Measure of success <i>(what needs to be done to achieve objective)</i>
Support/resources to be provided	Review date	Evidence /Comments
		Achieved Y/N

<b>OBJECTIVE 2:</b>		
<b>Teachers' standard/s or key skill/behaviour the objective relates to</b>	<b>Reason standard/s are not currently reached</b>	<b>Measure of success</b> <i>(what needs to be done to achieve objective)</i>
<b>Support/resources to be provided</b>	<b>Review date</b>	<b>Evidence /Comments</b>
		Achieved Y/N

<b>OBJECTIVE 3:</b>		
<b>Teachers' standard/s or key skill/behaviour the objective relates to</b>	<b>Reason standard/s are not currently reached</b>	<b>Measure of success</b> <i>(what needs to be done to achieve objective)</i>
<b>Support/resources to be provided</b>	<b>Review date</b>	<b>Evidence /Comments</b>
		Achieved Y/N

<b>OBJECTIVE 4:</b>		
<b>Teachers' standard/s or key skill/behaviour the objective relates to</b>	<b>Reason standard/s are not currently reached</b>	<b>Measure of success</b> <i>(what needs to be done to achieve objective)</i>
<b>Support/resources to be provided</b>	<b>Review date</b>	<b>Evidence /Comments</b>
		Achieved Y/N

<b>OTHER SUPPORT PROVIDED</b>	
<b>Mentor allocated?</b>	Yes/No (If yes, give name)
<b>Education Helpline Number provided?</b>	Yes/No
<b>Counselling to be provided?</b>	Yes/No
<b>Occupational health referral to be made?</b>	Yes/No
<b>Detail of any other support provided</b>	
<b>Formal review date</b>	

Employee Signature		Date	
Manager's Signature		Date	



**1st Review Date**

Employee's comments:

Manager's summary:

Employee Signature

Date

Manager's Signature

Date

**2nd Review Date**

Employee's comments:

Manager's summary:

Employee Signature

Date

Manager's Signature

Date

**3<sup>rd</sup>/Final Review Date**

Employee's comments:

Manager's summary:

Employee Signature

Date

Manager's Signature

Date

# **Appendix D**

## **Teacher Standards**



## PREAMBLE

Teachers make the education of their pupils their first concern, and are accountable for achieving the highest possible standards in work and conduct. Teachers act with honesty and integrity; have strong subject knowledge, keep their knowledge and skills as teachers up-to-date and are self-critical; forge positive professional relationships; and work with parents in the best interests of their pupils.

## PART ONE: TEACHING

A teacher must:

### 1 Set high expectations which inspire, motivate and challenge pupils

- establish a safe and stimulating environment for pupils, rooted in mutual respect
- set goals that stretch and challenge pupils of all backgrounds, abilities and dispositions
- demonstrate consistently the positive attitudes, values and behaviour which are expected of pupils.

### 2 Promote good progress and outcomes by pupils

- be accountable for pupils' attainment, progress and outcomes
- be aware of pupils' capabilities and their prior knowledge, and plan teaching to build on these
- guide pupils to reflect on the progress they have made and their emerging needs
- demonstrate knowledge and understanding of how pupils learn and how this impacts on teaching
- encourage pupils to take a responsible and conscientious attitude to their own work and study.

### 3 Demonstrate good subject and curriculum knowledge

- have a secure knowledge of the relevant subject(s) and curriculum areas, foster and maintain pupils' interest in the subject, and address misunderstandings
- demonstrate a critical understanding of developments in the subject and curriculum areas, and promote the value of scholarship
- demonstrate an understanding of and take responsibility for promoting high standards of literacy, articulacy and the correct use of standard English, whatever the teacher's specialist subject
- if teaching early reading, demonstrate a clear understanding of systematic synthetic phonics
- if teaching early mathematics, demonstrate a clear understanding of appropriate teaching strategies.

### 4 Plan and teach well structured lessons

- impart knowledge and develop understanding through effective use of lesson time
- promote a love of learning and children's intellectual curiosity
- set homework and plan other out-of-class activities to consolidate and extend the knowledge and understanding pupils have acquired
- reflect systematically on the effectiveness of lessons and approaches to teaching
- contribute to the design and provision of an engaging curriculum within the relevant subject area(s).

### 5 Adapt teaching to respond to the strengths and needs of all pupils

- know when and how to differentiate appropriately, using approaches which enable pupils to be taught effectively
- have a secure understanding of how a range of factors can inhibit pupils' ability to learn, and how best to overcome these
- demonstrate an awareness of the physical, social and intellectual development of children, and know how to adapt teaching to support pupils' education at different stages of development
- have a clear understanding of the needs of all pupils, including those with special educational needs; those of high ability; those with English as an additional language; those with disabilities; and be able to use and evaluate distinctive teaching approaches to engage and support them.

## 6 Make accurate and productive use of assessment

- know and understand how to assess the relevant subject and curriculum areas, including statutory assessment requirements
- make use of formative and summative assessment to secure pupils' progress
- use relevant data to monitor progress, set targets, and plan subsequent lessons
- give pupils regular feedback, both orally and through accurate marking, and encourage pupils to respond to the feedback.

## 7 Manage behaviour effectively to ensure a good and safe learning environment

- have clear rules and routines for behaviour in classrooms, and take responsibility for promoting good and courteous behaviour both in classrooms and around the school, in accordance with the school's behaviour policy
- have high expectations of behaviour, and establish a framework for discipline with a range of strategies, using praise, sanctions and rewards consistently and fairly
- manage classes effectively, using approaches which are appropriate to pupils' needs in order to involve and motivate them
- maintain good relationships with pupils, exercise appropriate authority, and act decisively when necessary.

## 8 Fulfil wider professional responsibilities

- make a positive contribution to the wider life and ethos of the school
- develop effective professional relationships with colleagues, knowing how and when to draw on advice and specialist support
- deploy support staff effectively
- take responsibility for improving teaching through appropriate professional development, responding to advice and feedback from colleagues
- communicate effectively with parents with regard to pupils' achievements and well-being.

## PART TWO: PERSONAL AND PROFESSIONAL CONDUCT

A teacher is expected to demonstrate consistently high standards of personal and professional conduct. The following statements define the behaviour and attitudes which set the required standard for conduct throughout a teacher's career.

- Teachers uphold public trust in the profession and maintain high standards of ethics and behaviour, within and outside school, by:
  - treating pupils with dignity, building relationships rooted in mutual respect, and at all times observing proper boundaries appropriate to a teacher's professional position
  - having regard for the need to safeguard pupils' well-being, in accordance with statutory provisions
  - showing tolerance of and respect for the rights of others
  - not undermining fundamental British values, including democracy, the rule of law, individual liberty and mutual respect, and tolerance of those with different faiths and beliefs
  - ensuring that personal beliefs are not expressed in ways which exploit pupils' vulnerability or might lead them to break the law.
- Teachers must have proper and professional regard for the ethos, policies and practices of the school in which they teach, and maintain high standards in their own attendance and punctuality.
- Teachers must have an understanding of, and always act within, the statutory frameworks which set out their professional duties and responsibilities.