

**Schools’ HR Advisory Service**

**Whole School Appraisal Guidance**

**Status of Guidance**

This document provides optional appraisal guidance for employees in City schools. It is for individual schools to determine whether they wish to adopt this guidance and to share the details with their employees.

Where adopted, the guidance applies to both teaching and support employees. For teachers, it complements the school’s appraisal policy and pay policy for teachers, specifically with regard to performance related pay and UPS. For support employees in City schools, their pay and grade will be determined by the provisions City Council’s Single Status pay policy and not by appraisal outcomes. Support employees in academies will be subject to the provisions adopted by the individual academy.

**Contents**

**The Annual Performance Cycle**

The Annual Performance Cycle is a 12-month period running from 1 September – 31 August. The cycle has3 recommended stages:

1. Performance Planning for the year ahead…………………….page 2  
2. Interim Review(s)………………………………………………...page 4  
3. End of Year Review……………………………………………...page 5

**Upper Pay Spine (UPS)**

To assist schools to adopt a fair and consistent approach to UPS applications, the following guidance has been provided

4. Upper Pay Spine Guidance……………………………………..page 6

Appendix 1 – Behavioural Competencies……………………………..page 9

Appendix 2 – Objective Setting and Review Form…………………...page 11

Appendix 3 – Application For UPS...…………………………………...page 15

**The Appraisal Cycle**

The annual appraisal cycle has3 recommended stages:

1. Performance Planning for the Year Ahead  
2. Interim Review(s)   
3. End of Year Review

**(A template form for capturing all of this activity is provided in Appendix 2.)**

**1: Performance Planning for the Year Ahead**

**1.1 What you need to do:**

The first stage of the appraisal process is to meet with your manager to agree objectives for the year ahead. At stage one you should take a lead role in thinking through your work objectives and your development goals for the year ahead. Whilst ultimately your appraiser is responsible for approving key objectives and development goals, all objectives and goals should be the subject of joint discussion and agreement.

**1.2 Sharing Expectations:**

The Performance Appraisal measures “what you do” i.e. have you achieved your objectives. Some schools may choose to also review “how you do it” i.e. agreed “behavioural competencies”.

At the meeting, take the opportunity to clarify your appraiser’s performance expectations of you for the performance year. Your appraiser should be able to describe to you what outstanding and good performance look likein your role*.*

Be prepared to discuss with your appraiser what support you need, how you would like to be managed and how your manager can get the best out of you.

**1.3 Setting Objectives:**

You should take an active role in the objective setting process. Think about some stretching/challenging objectives as well as grouping your day-to-day responsibilities under key work areas. Staff will usually have a maximum of 3 objectives, unless by agreement in relation to specific responsibilities. Two of these are generally related to whole school targets and one related to the individual’s role and development.

Your appraiser will lead the objective setting process but be prepared to discuss your ideas.

All objectives should be SMART, i.e. Specific, Measurable, Achievable, Realistic/Relevant and Time-bound.

**1.4 Relevant Standards:**

In addition, there are standards and expectations for all roles within schools. Those appropriate to you will be agreed at the beginning of the appraisal year, and will be relevant to your job description (JD).

In the case of teachers, these will include the Teachers’ Standards (and the National Standards of Excellence for Head Teachers where applicable), which set a clear baseline of expectations for the professional practice and conduct of teachers, from the point of qualification. They should be used to assess the performance of all teachers subject to the Education (School Teachers’ Appraisal) (England) Regulations 2012 (and also trainees working towards QTS). An appraiser should assess a teacher’s performance against the standards, to a level that is consistent with what should reasonably be expected of a teacher in their role and at relevant stage of their career. (See https://www.gov.uk/government/publications/teachers-standards for the latest version of the Teachers’ Standards)

For teaching assistants, these should include elements from the National Occupational Standards (NOS) for Supporting Teaching and Learning, as identified on your JD, and other specific standards relevant to individual JDs.

(See www.gov.uk/government/publications/national-occupational-standards-for-supporting-teaching-learning).

For other support staff, these standards should be informed by requirements on your JD and may also refer to National Occupational Standards (NOS) for other occupations.

(See nos.ukces.org.uk for access to specific areas)

**1.5 Behavioural Competencies:**

The HR Advisory Service has consulted with a focus group of headteachers and with the teaching and support trade unions, and has produced a set of behavioural competencies that schools may choose to use when talking about performance with their staff. These are included in Appendix 1.

The competencies outline examples of positive behavioural expectations for effective working. They also provide examples of negative behaviours. They should be used during the appraisal to help guide discussions and steer assessments. Teachers might choose to use these as a guide to assess their own level and as an indicator of when it might be appropriate for them to consider applying for UPS.

The competencies are not a definitive or exhaustive checklist. Every example will not be absolutely perfect for every role but the majority of examples should be very relevant. You will be asked to identify 3 competencies that you feel describe a cross-section of your behaviour at work, for discussion at your appraisal meeting. You may also refer to these when identifying potential future development areas.

**1.6 Identifying Development Needs:**

You should take an active role in identifying any competency-based, technical, professional or other development need that will assist you in your current role and discuss these with your manager at this meeting. Think about what areas you want to improve on/target during the performance year. Your manager will lead the development discussion but be prepared to contribute your ideas and career aspirations.

Your union, and in particular Union Learning Reps (ULRs), can offer support and guidance to members in terms of identifying development needs, signposting to relevant training, both union funded training and external, and supporting learners through the learning journey.

**1.7 Agreeing How Performance will be Measured:**

Before the meeting ends, it is important that you agree with your manager how performance will be monitored during the year. It may be through daily or regular contact, it may be through weekly, monthly or termly one-to-ones or supervision meetings. There is no one-size fits all approach. All managers must find ways to monitor the performance of their employees and it is important all everyone understands how this will occur.

**2: Interim Review of Contribution**

**2.1 What you need to do:**

Stage 2 should be fairly *light touch* in terms of your time commitment; nevertheless it is an important milestone in your performance year. The interim review meeting should take place either mid-year or termly and may simply be an extension of a normal one-to-one or supervision meeting. Where there is less frequent contact between you and your appraising manager this may be a more formal meeting and may require a little more preparation.

Interim review meetings provide an opportunity for you to consider your own performance during the year to date and to look ahead to the rest of the performance year. They also provide an opportunity to get a sense from your manager regarding the extent to which you are meeting performance expectations and/or how your performance could be improved.

**2.2 Reviewing Your Own Performance:**

Think about what has been going well and what hasn’t gone as well as it could have during the performance year to date and consider:

* The extent to which you are meeting your objectives in line with agreed performance indicators. Are you on track? Or is some action required to get progress back on track?
* The extent to which you are meeting the competency requirements; refer back to any appropriate standards and behavioural competencies (if used).

Also consider:

* Any development needs you have identified
* What (if any) further support you need from your manager

Your appraiser will invite you to a meeting to discuss your self-assessment of your performance and will outline his/her assessment of your contribution to date. Your appraiser will tell you what you are doing well (providing examples) and what, if any, areas need improvement (again drawing on examples). Your appraiser will outline whether he/she feels your performance is higher or lower than the expected level for that time in the performance cycle.

It may be appropriate to update your personal development plan in accordance with changing circumstances, role requirements or performance level. Any new development actions should be discussed and agreed with your manager.

A template form is provided in Appendix 2 for use when reviewing performance.

**2.3 Evidence:**

You have a responsibility to work with your appraiser to identify evidence supporting your progress towards your objectives and any standards identified as appropriate to your role.

8.1.2 Teachers may also gather any evidence that they deem is appropriate in relation to meeting their objectives, the Teachers’ Standards and any other criteria (e.g. in support of an application to be paid on Upper Pay Range) so that such evidence can be taken into account at the review, but they are not obliged to do so.

8.1.3 Assessment may be based on evidence from a range of sources. Examples of evidence may include:

* Classroom observations
* Task observations
* Reviews of assessment results
* Reviews of lesson planning records
* Internal tracking
* Moderation within and across schools
* Evidence supporting progress against appropriate standards

**3: End of Year Review of Your Contribution**

**3.1 What you need to do:**

At the end-of-year review meeting, your performance over the previous 12 months should be discussed with your manager. In schools this will usually happen at the end of the summer term or early in the autumn term.

Think about what has gone well and what has not gone as well as it could have during the performance year to date.

**3.2 Performance against Objectives:**

Consider the extent to which you have met your objectives in line with the agreed performance indicators. Have you met each objective in line with all indicators of performance? Have you met some, few or none?

**3.3 Relevant Standards:**

Consider the extent to which you are meeting the competency requirements; refer back to any relevant standards for the post.

**3.4 Behavioural Competencies:**

Consider the extent to which you fulfil the examples of positive behavioural competencies (if used) and whether there are any negative examples that could apply to you. These might help to identify objectives or development opportunities for the next year.

**3.5 Reviewing the Personal Development Plan**

After discussing your performance against objectives and competencies with your manager, identify areas for improvement. Consider development actions that may improve your performance at work. If previous development activities did not result in the improvement you were hoping for, think about new ideas to take forward to the new performance year.

Where it has not been possible for you to fully meet all of your objectives and this is for circumstances beyond your control (e.g. lack of resources, cover for absent colleague, etc) the reason will be recorded. Further actions may be identified to assist you to complete your objective.

**4: Upper Pay Spine Guidance (Teachers only)**

**4.1 Guidance:**

The guidance has been put together by a focus group consisting of head teachers from Nottingham City schools and academies, members of the Council’s HR & Transformation and School Improvement teams and teaching union representatives. It is for the sole use of schools and academies that purchase the Council’s HR Advisory Service.

**4.2 Criteria for UPS:**

The School Teachers’ Pay and Conditions Document 2013 (paragraph 18) states that, in order to qualify for UPS, specific criteria must be achieved, namely that:

* *the teacher is highly competent in all elements of the relevant standards; and*
* *the teacher’s achievements and contribution to the school are substantial and sustained.*

**4.2.1 Highly Competent:**

The City Council’s Model Pay Policy for Teachers defines highly competent as:

* *the teacher’s performance is assessed as having excellent depth and breadth of knowledge, skill and understanding of the Teachers’ Standards in the particular role they are fulfilling and the context in which they are working.*

**4.2.2 Definition of “Substantial”:**

The Model Pay Policy adds to the definition of substantial as follows:

* *the teacher’s achievements and contribution to the school are significant, not just in raising standards of teaching and learning in their own classroom, or with their own groups of children, but also in making a significant wider contribution to school improvement, which impacts on pupil progress and the effectiveness of colleagues.*

Nottingham City Council recommends that the definition is expanded as follows:

|  |
| --- |
| **Evidence for substantial contribution will be provided from both A) and B):** |
| **A) Own teaching performance**  **This must be consistently GOOD or OUTSTANDING and will be based on evidence** **from assessment of performance over the year, as evidenced and discussed at the teacher’s performance appraisal** |
| **B) Impact on school**  **This criterion refers to the teacher’s contribution to the wider school. Additional evidence for this will come from section i) below, plus from one other area from ii), iii) or iv)**   1. **Role model for teaching, learning and pupils**   **e.g. supporting, advising and encouraging colleagues, mentoring, coaching, and demonstrating effective teaching practice to others, positive and proactive approaches to school initiatives**  **Plus one area from either:**   1. **Adds value to the school**   **e.g. embodying the school vision statement, assemblies, clubs, working together, instilling values, proactive in relationship between home and school, contribution at meetings and insets and leading areas of school life**     1. **Wider school role**   **e.g. leading meetings, residentials, contribution to school improvement plan, making a distinctive contribution beyond the classroom to the raising of pupil standards**   1. **Professional development – participating in professional development that will impact on their own practice and that of others and will improve the learning and development of pupils e.g. proactively takes ownership of own development, internal and external CPD, shares learning and ideas (through leading workshops, inset sessions, assisting others to improve), able to identify and demonstrate impact** |
| **NB These are not exhaustive lists and many of the examples are outwith of contractual obligation** |

**4.2.3 Definition of “Sustained”:**

The City Council’s Model Pay Policy for Teachers adds to the definition of sustained as follows:

* *the teacher must demonstrate that their performance has been good, with at least one year’s successful appraisal report in this school and have made good progress towards their objectives during this period. They will have been expected to have shown that their teaching expertise has grown over the relevant period and is consistently of a good standard, wherever assessed.*

The level of performance must have been consistently sustained and should span both A) and B) (i), plus from one other category from B) (ii), (iii) or (iv).

**4.3 Evidence:**

How evidence is presented is the choice of the teacher, or appraisee. Teachers are responsible for providing evidence of both their appraisal objectives and in support of their UPS application. The emphasis is on quality not quantity and teachers are not expected to present a lengthy portfolio.

For A), this is likely to be by observation, which could be presented as ‘the HT observed my teaching and this is what s/he said’ or as part of the whole school monitoring process in school.

For B), evidence may take the form of verbal discussion, written notes, log book, notes of a specific project or activity and the teacher should be able to link this to the impact on them, the progress being made by the pupils and on standards in the whole school. The choice is for the individual teacher to use whatever allows them to best make their case.

Who that evidence is presented to is the choice of the school. This will, in most cases, be the appraiser, who is likely to be a member of the senior leadership team. However, other arrangements may be made to include a senior colleague, such as head of department, who has a good knowledge of the teacher’s work and can act as an advocate in presenting the case.

**Further Information:**

This information is for the sole use of schools and academies that purchase the Council’s HR Advisory Service. Other schools and academies wishing to use this, should contact the Schools’ HR Advice Line on 0115 876 2000.

**Appendix 1 - Behavioural Competencies**

|  |  |
| --- | --- |
|  | **Indicator of effective and ineffective performance** |
| **1. Mainscale Teachers/Support Staff** | 1.1 Examples of positive behavioural indicators   * Is punctual and reliable * Consistently follows through on promises made * Works collaboratively with others; is a good team player * Treats colleagues, pupils, parents and governors respectfully * Retains emotional control when dealing with difficult or challenging pupils, parents, colleagues and governors * Builds positive, personal relationships across the team and beyond * Involves others in resolving complex problems * Adheres to school processes, policies and frameworks * Accepts personal accountability for missed deadlines or errors * Demonstrates commitment to improving outcomes for pupils * Encourages and seeks out different perspectives to build on own ideas * Is aware of own interpersonal style, accepts constructive feedback and adapts actions and behaviours accordingly * Willingly shares own resources and knowledge with others * Creates simple systems and processes that make things easy and more accessible for pupils and parents * Takes time to keep up to date with new developments in education best practice and demonstrates commitment to own CPD * Is proactive in tackling situations that may have a negative impact on the reputation of the team or school |
| 1.2 Examples of negative behavioural indicators   * Is often late for meetings/work * Shows a lack of respect towards colleagues, pupils, parents and governors * Makes little effort to adapt behaviour * Procrastinates, often being ‘chased’ for work, information or time that has been promised * See problems/mistakes and fails to take any action * Blames others when things go wrong * Let’s the performance of the team drop off or plateau * Focuses on processes and inputs rather than clear impacts, benefits and outcomes * Demonstrates an inflexibility or unwillingness to meet changing or unusual requirements * Holds onto critical information * Fails to think through pupil or parent needs designing solutions that they find difficult or complex * Struggles to interact with different types/styles of people |

|  |  |
| --- | --- |
| **2. UPS Teachers/Intermediate Staff**  **(Indicators in 1.1 plus 2.1)** | 2.1 Examples of additional positive behavioural indicators   * Through words and actions, demonstrates a passion and commitment to improving outcomes for pupils * Acts as a role model for the school, behaving ethically and delivering on promises made to pupils, colleagues and other stakeholders * Communicates strongly, concisely and clearly, inspiring commitment and enthusiasm * Instils a passion within the team for realising outcomes * Drives self and colleagues towards key objectives and outcomes * Values the strengths of colleagues, coaching others and allowing them the opportunity to develop further * Regularly seeks feedback, takes accountability for dealing swiftly with criticism or complaints, and drives improvement * Understands, interprets and effectively manages complex relationships * Manages own projects within constraints, tackling any issues that arise |
| 2.2 Examples of negative behavioural indicators   * Is unable to influence stakeholders and colleagues * Makes short-term decisions that satisfy immediate concerns/targets but ignore long-term and strategic goals * Sees only one way of doing things, sticking rigidly to one approach in spite of changing circumstances |
| **3. Leadership/Senior Roles**  **(indicators in 1.1 and 2.1 plus 3.1)** | 3.1 Examples of additional positive behavioural indicators   * Takes collective accountability with senior colleagues for sponsoring, driving and supporting change and improvement * Establishes appropriate systems for scrutiny, review and performance monitoring * Takes ultimate accountability for the performance of the school * Takes accountability for establishing and managing positive and outcome-focused relationships with stakeholders * Tackles major relationship breakdowns swiftly, isolating key issues and taking appropriate courses of action * Builds a network of internal and external focus and influence across schools, to share knowledge and ideas and influence change * Works closely with stakeholders, tackling problems, challenging under performance, and finding shared solutions |
| 3.2 Examples of negative behavioural indicators   * Fails to inspire others and lead changes to behaviour * Blames others for leadership errors * Maintains a narrow school-based approach to leadership * Lets relationship problems drift, adversely affecting school progress * Fails to include and engage key stakeholders in shaping critical plans and does not respond to their requirements |

****

**Appendix 2: Objective Setting and Assessment**

**Name: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Job Title: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

**A. STANDARDS AND REQUIREMENTS**

**There are standards and expectations with all roles within schools (see section 1.4 above for further information). Those appropriate to your post should be agreed at the start of the appraisal year. Interim and end of year assessment should be discussed and added at the relevant review meeting.**

|  |  |  |
| --- | --- | --- |
| **STANDARDS AND REQUIREMENTS (SUMMARY)** | **INTERIM REVIEW** | **END OF YEAR REVIEW** |
| **MET**  **PARTLY MET**  **NOT MET** | **MET**  **PARTLY MET**  **NOT MET** |
|  |  |  |
|  |  |  |
|  |  |  |
|  |  |  |
|  |  |  |
|  |  |  |
|  |  |  |
|  |  |  |
|  |  |  |

**B. SETTING AND REVIEWING OBJECTIVES**

**School employees will usually have a maximum of 3 objectives, unless by agreement in relation to specific responsibilities (see section 1.3 above for further information). The objectives should be SMART (Specific, Measurable, Achievable, Realistic/Relevant and Time-bound), with clear links to the School Improvement Plan.**

**PREPARATION - Consider any ideas suitable objectives for the coming and/or progress on objectives during current year.**

**AT THE MEETING - Be prepared to discuss your assessment of your progress and your manager's views and agree the final assessment and, at the end of year review, discuss and agree appropriate objectives for the next year.**

|  |  |  |
| --- | --- | --- |
| **OBJECTIVES AND TIMELINES (WHAT IS TO BE ACHIEVED, DEADLINES AND COMPLETION DATES)** | **INTERIM REVIEW** | **END OF YEAR REVIEW** |
| **MET/PARTLY MET/NOT MET** | **MET/PARTLY MET/NOT MET** |
| **1.** |  |  |
| **EVIDENCE NOTES:** |
| **2.** |  |  |
| **EVIDENCE NOTES:** |  |  |
| **3.** |  |  |
| **EVIDENCE NOTES:** |  |  |
| **OTHER** |  |  |

****

**C. INTERIM AND END OF YEAR REVIEW OF BEHAVIOURAL COMPETENCIES**

**Identify 3 examples of behavioural competencies that you feel describe a cross-section of your behaviour at work and be prepared to discuss examples from your work that you feel demonstrate these. Information on the behavioural competencies can be found in 1.5 and in Appendix 1 above. It is likely that these will come from the level appropriate to your role in the school (however are not limited to this).**

|  |  |
| --- | --- |
| **EXAMPLE BEHAVIOURAL COMPETENCIES** | **EVIDENCE NOTES (optional)** |
| 1. |  |
| 2. |  |
| 3. |  |

**Are there any areas where you feel you could improve and/or would like to develop further? These may be used to inform future development activity in D below.**

|  |  |
| --- | --- |
| **BEHAVIOURAL COMPETENCIES FOR DEVELOMENT** | **SUGGESTED DEVELOPMENT ACTIVITY APPROPRIATE** |
|  |  |

**D. DEVELOPMENT**

**You should take an active role in identifying any competency-based, technical, professional or other development needs that will assist you in your role over the coming year. You should also consider any development needs and suggestions arising from your end of year assessment and those in relation to your new objectives for the next year. Finalise your planned development activities with your appraiser and ensure that these are reviewed at the interim and end of year meetings. (See 1.7 for further information)**

|  |  |  |
| --- | --- | --- |
| **PLANNED DEVELOPMENT ACTIVITIES FOR YEAR** | **PROGRESS RECORDED AT INTERIM REVIEW** | **PROGRESS AT END OF YEAR REVIEW** |
|  |  |  |

**Identify any future development activity that you feel would support you in your role, or benefit the whole school. This will then be considered as part of your next appraisal.**

|  |  |
| --- | --- |
| **FUTURE DEVELOPMENT OPPORTUNITIES** | **HOW WILL THIS BENEFIT YOU/THE SCHOOL?** |
|  |  |

**Signed: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ (Employee) Date: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

**Signed: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ (Reviewing Manager) Date: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

****

**APPENDIX 3 – APPLICATION FOR UPS**

|  |  |  |  |
| --- | --- | --- | --- |
| **APPLICATION FOR PROGRESSION TO THE UPPER PAY SPINE (UPS)**  Applications received by *[insert date]* each year will be considered for progression to the UPS. Where successful, the effective date will be 1 September for the year awarded. | | | |
| **1. Eligibility Criteria**  In order to progress onto the Upper Pay Range a teacher must demonstrate, and be able to evidence:-   * That they have worked as a teacher on the mainscale pay range for a minimum of one year, providing appraisals that support their high level of performance (these may come from previous schools, who may then be approached for further information) * A high level of competency in all elements of the Teachers’ Standards (and any other standards previously agreed as being appropriate to their role) * That their achievements and contributions to the school (or teaching environment) are substantial and sustained and comply with any further guidance adopted by the school. | | | |
| **2. Teacher Details (to be completed by the applicant)**  **Name:**  You must enclose copies of your appraisal report for the year prior to your application. Please submit your application to the head teacher by *[insert date]*  **Details of appraisals submitted:** | | | |
| **Name/Address of school/LA (including current)** | **Appraisal years applicable** | | **Name and contact details of Headteacher or line manager** |
|  |  | |  |
|  |  | |  |
| **Declaration:**  I confirm that I meet the eligibility criteria as set out in the school’s pay policy for teachers and any additional UPR guidance adopted by the school  **Signed:**\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ **Date:**\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ | | | |
| 3. Notes of evidence provided: | | | |
| **4. Application Recommendation (to be completed by the appraiser)**  **Either (tick as appropriate):**  I support this application and will be recommending progression to the Pay Committee  **Signed:**\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ **Date:**\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  **Or:**  I do not support this application for the reasons given below and will be recommending that the Pay Committee do not progress this application. You have the right of appeal against this decision, as stated in the school’s pay policy for teachers.  **Signed:**\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ **Date:**\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ | | | |
| Notes: including rationale for both support or rejection of application, including specific areas for professional development. | | | |
| Headteacher Signature:  Date: | | Print Name:  School: | |