



**Developing Performance Policy and
Procedures for Schools
2016/2017**

School **BEDALE HIGH SCHOOL**
Headteacher **SIAN REES**

Named personnel with designated responsibility for this policy

Academic year	Designated Senior Person	Nominated Governor	Chair of Governors
2016/17	Siân Rees	Gerry Price	Gerry Price

Policy Review dates

Review Date	Changes made	By whom	Date Shared with staff

Date Ratified by Governors	Review Date
September 2016	September 2017

Bedale High School Developing Performance Policy and Procedure

Status:

- Updated September 2013
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1. Scope

1.1 This policy and procedure applies to all staff employed directly by schools under the Local Management of School arrangements, where school has adopted this policy except those in the following circumstances:

- Employees within their probationary period
- Those on Apprenticeship schemes
- For dealing with issues of misconduct, attendance or resolving issues at work, for which separate policies apply.
- Employees in the induction period of Newly Qualified Teachers (NQTs),

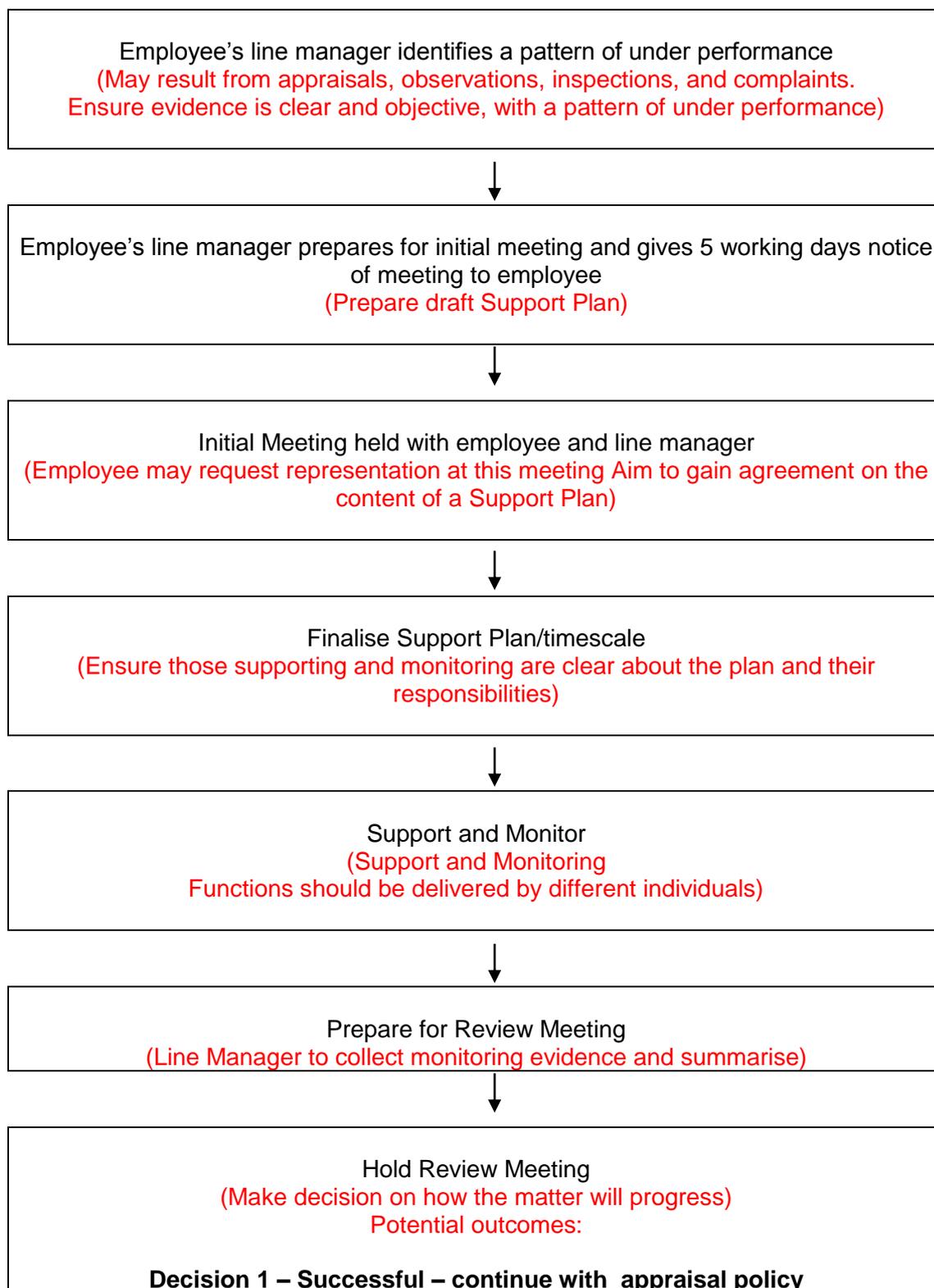
1.2 In most cases, where instances of under performance are identified employees will be given the opportunity to address these initially through performance management. If and when necessary, the Developing Performance Policy and Procedure will be implemented followed by, where appropriate, the Capability Procedure. In appropriate cases, e.g. where the delivery of the service is significantly affected, the Capability Procedure may be invoked without first using the Developing Performance Procedure. In such cases the employee will be allowed to make representations to the manager, accompanied by a trade union representative or work colleague, before a final decision is taken.

1.3 Whenever a concern is raised regarding any aspect of the operation of the Developing Performance Procedure, it should be dealt with as promptly as possible and within this procedure. Should it not be possible to resolve the matter within this procedure then the Resolving Issues at Work Procedure should be invoked.

1.4 If an employee is currently being managed under this procedure they will not be awarded an increment, if they were otherwise due to one or will lose an increment if already at the top of their pay band (see [‘Increments Policy & Procedure’](#)).

1.5 Where a school has not adopted capability issues as performance criteria under the schools pay policy, 1.4 will **not** apply to teachers. Please note where it has been adopted as criteria, increment removal will not apply to teachers and therefore a teacher cannot lose an increment that has already been awarded.

2. Flowchart for Developing Performance Procedure



Decision 2 – Partially Successful – Review Support Plan and continue for a further period within timescale
Decision 3 – Unsuccessful – Transfer to Capability Procedure

* Clear records and notes of meetings should be taken and supplied to the employee for their comment and agreement. All documentation (letters, support plans etc) should be stored securely.

3. Identification of Performance Problems

3.1 Concerns over an individual's job performance may arise through a variety of sources. Where normal performance management has not eliminated concerns line managers must be clear that there are sufficient concerns regarding an individual's performance, and there is a pattern of under performance sufficient to warrant dealing with the matter through the Developing Performance Procedure. In order to inform this judgement the manager may need to discuss the matter on a confidential basis with their own line manager or a Human Resources Adviser.

3.2 Where the manager feels that the issues should be addressed through the Developing Performance Procedure then the manager will speak with the employee on a 1:1 confidential basis, asking them to attend an initial meeting to discuss the way forward. The manager will inform the employee of the areas of work performance to be discussed and follow this conversation up in writing. The employee will be given a copy of the Developing Performance Policy, emphasising the supportive nature of the process.

Use model letter 1 to invite employee to the meeting.

3.3 In preparation for the meeting, the manager will produce a draft Support Plan and give it to the employee for consideration at the Initial Meeting. The content of the Support Plan should relate to appropriate section of the Behaviour and Skills Framework or the Professional Standards for Teachers and should also be linked to the employee's Job Description and Person Specification. The manager should consider whether input would be helpful from anyone else e.g. a Q&I Adviser in the case of teachers.

Refer to supporting documents for guidance regarding support mechanisms for improving work performance.

4. Initial Meeting and Support Plan

4.1 The manager should ensure that the employee understands that the intention of the process is to support them in achieving a sustainable satisfactory job performance. The employee should be given an overview of the entire process including all possible outcomes. The employee may request to be accompanied by a trade union representative or work colleague. The accompanying representative may address the meeting, but cannot answer questions on behalf of the employee.

4.2 The concerns regarding under performance will be discussed, clearly identifying the nature of the problem(s) and the evidence to support the concerns. The employee will be given the opportunity to respond with their own views and opinions at every stage of the process.

- 4.3 The employee should, whenever practicable, be assisted through training, coaching or other development activities and be given adequate time to reach the required standard of performance, balanced against the effects of the under performance on service delivery.
- 4.4 The manager should establish whether, in the employee's view, there are any other factors to be taken into account – e.g. working relationships, working conditions, excessive workload, effects of organisational change, work process deficiencies, personal difficulties, health problems - and clarify the issues. The manager should consider and discuss, if appropriate, whether there are any issues falling under the Equality Act 2010, e.g. disability.
- 4.5 Following a full discussion of the issues raised, including the draft Support Plan, a structured Support Plan will be finalised and confirmed in writing covering the following:
- i. Key issues to be addressed from the Behaviour and Skills Framework/ Teaching Standards, or other relevant standards, Job Descriptions and Person Specifications.
 - ii Any weightings attached to the key issues
 - iii. The behaviours the employee needs to demonstrate
 - iv. The actions that need to be taken.
 - v. Any additional support and/or resources needed.
 - vi. The arrangements for monitoring and assessment and the timescales involved.
 - vii. The success criteria for each issue.
- 4.6 Targets set should be SMART –
- Specific
 - Measurable
 - Achievable
 - Realistic
 - Time-bound

Targets may be weighted in terms of importance. When this occurs the weighting arrangements and how these may affect the overall outcome of the process should be made clear to the employee at this stage and noted on the Support Plan.

- 4.7 The manager should ensure that the employee understands that at the end of the Developing Performance process a decision will be taken concerning the employee's work performance and the consequences that may follow (i.e. transfer to the Capability Procedure in the case of failing to achieve a satisfactory improvement).

Use model letter 2 to confirm the outcome of the meeting.

5. Timescales

- 5.1 The length of the process should allow the employee sufficient time to receive support and demonstrate the necessary improvements without unnecessarily prolonging any detrimental effect on the provision of services

- 5.2 It is not possible to provide a timescale to suit all cases. However, as a general guide a minimum of 4 weeks and a maximum of three months would be the parameters between the Initial Meeting and the Review Meeting, before a final decision is made. Precise timings will depend upon the circumstances of each case. A significant deterioration in performance may result in the need to bring forward the date of the review meeting.

6. Monitoring and Support

- 6.1 Support and monitoring functions should be delivered by different individuals. The manager should speak to all who are involved in monitoring and support in order to confirm their roles and the timetable involved, emphasising the confidentiality requirements. It is important that everyone follows the Support Plan, including the timescale. If the plan is amended the reason will be discussed and agreed with the employee as soon as possible.
- 6.1 If an employee is absent due to sickness for a significant period during the process you should refer to the Attendance Management Policy and consult Human Resources.
- 6.3 Employees who are notified of their under performance should be given a copy of the Developing Performance Policy and Procedure. Consideration must be given to the implementation of support arrangements through a named work contact and the employee should be made aware of staff support available through Health Assured, an employee assistance programme, which offers confidential counselling and support (0800 030 5182)

7. Review Meeting

- 7.1 Following the period of support and monitoring a review meeting will be held in accordance with the timescale determined in the Support Plan. Prior to this meeting the Manager should collect and read all monitoring information, clarifying points with the providers of that information where necessary. Any written evidence must be provided in advance of the meeting, with sufficient time for both parties to give due consideration of the content of the documents.
- 7.2 The employee should receive a letter from the manager, a minimum of 5 working days prior to the meeting, confirming the date, time and venue, also asking them to bring any evidence they wish to present to the meeting. Where there is a likelihood that performance remains unsatisfactory, and the outcome may be a move to the Capability procedure, the employee should be informed of this probability at least five working days prior to the meeting, and advised of the right to be accompanied by a trade union representative or work colleague.

Use model letter 3 to invite employee to review meeting.

- 7.3 At the review meeting the manager will discuss progress against the Support Plan using the evidence/feedback collected. The employee will be invited to respond.
- 7.4 After the discussion the manager will form a judgement as to which of the following three outcomes is appropriate: -

i. Successful

That the employee has achieved and maintained the required standards of job performance. Therefore, the Support Plan has been successfully concluded.

ii. Partially Successful

That the employee has demonstrated some improvement but not sufficient to fully satisfy all the required standards of the post. This will require a further period of support and monitoring with an updated Support Plan, followed by a further review meeting and subsequent decision. At this further stage it is likely that the decision taken will be either i) or iii), with a third period of support and monitoring being appropriate only in exceptional cases.

There may be occasions where specific targets are given greater weighting, and that if they are not achieved, despite others having been met, a decision is made that the individual has been unsuccessful, as per iii). In such situations, the individual will be made aware, before the plan has commenced, of the significance of certain targets, if applicable.

iii. Unsuccessful

That the employee has failed to show sufficient improvement in relation to the agreed targets, to satisfy the manager that the individual is capable of progressing to a satisfactory standard within the Developing Performance Procedure. This will result in a revised action plan, and further monitoring and support under the capability procedure, with immediate effect

7.5 Following the review meeting the decision will be confirmed in writing.

Use model letter 4, 5 or 6 to confirm the outcome of the meeting.

Model letter 4

Model letter 5

Model letter 6

Model Letter 1 – Request to attend Initial Meeting

Dear (NAME)

Further to our recent conversation I confirm that I would like you to attend a meeting in order to discuss some aspects of your work and the measures we need to put in place in order to assist you to achieve a sustained, satisfactory standard of performance.

The meeting will be held on(DATE) at.....(TIME)
at.....(VENUE). The main issues to be discussed are as follows: -

List areas of work performance to be discussed

This meeting will be held under the Developing Performance Policy (a copy of which is enclosed).

Either

*During the meeting we will talk about the suggested content of a Support Plan but you will have the opportunity to think further about this and let me have any suggestions within five working days of the meeting

OR

*I enclose a copy of the draft Support Plan which you are asked to consider prior to the meeting so that you can put forward your thoughts on the plan at the meeting.

*I intend that(NAME(s)/POST(s)) will also be present at the meeting as I believe they will have a useful input to make. However, please be assured that, as far as reasonably possible, the process will be treated as confidential.

If you have any queries in advance of the meeting, please let me know as soon as possible.

Yours sincerely

NAME

JOB TITLE

* Delete as appropriate

Encl: Copy of Developing Performance Policy
Draft Support Plan (optional)

Cc Human Resources Representative

Model Letter 2 – Following Initial Meeting

Dear (NAME)

I refer to the meeting you attended on (DATE) at which we discussed the following aspects of your work performance under the school's Developing Performance Policy: -

List areas of work performance discussed

Following the meeting and full consideration of the points you raised I now enclose the completed version of the Support Plan. Please read this thoroughly and let me know if you have any remaining queries.

Please include as appropriate: As explained, I confirm that issues raised in this process may have a detrimental effect upon your incremental progression.

May I remind you that if you have any concerns at any point during this process then please let me know immediately and I will discuss them with you at my earliest convenience.

Yours sincerely

NAME

JOB TITLE

Encl: Support Plan

Cc Human Resources Representative

Model Letter 3 – Request to attend a Review Meeting

Dear (NAME)

In accordance with the timescale agreed previously I confirm that a review meeting will be held in order to discuss progress against the Support Plan, which was designed to assist you in addressing previously identified aspects of your work performance.

This meeting will be held under the Developing Performance Policy, a copy of which was provided to you previously.

The meeting will be held on(DATE) at.....(TIME)
at.....(VENUE).

There are three potential outcomes following the assessment of your performance: -

Either;

1. Significant and sustained progress has been achieved, enabling the Support Plan process to cease with normal performance management continuing, **or**
2. Some significant progress has been made, enabling the process to continue for a further period of monitoring and support, followed by another review, **or**
3. No, or very little, significant progress has been made, causing the Capability Procedure to be invoked

(Where there is a likelihood that the Capability Procedure will be invoked the following sentence should be added –

It is likely that as a consequence of this review the Capability Procedure will be invoked. If this is the case then a Support Plan under the Capability Procedure will be discussed at the meeting. You are advised of your right to be accompanied by a trade union representative or work colleague at the review meeting)

I intend that(NAME(s)/POST(s) should be present at the review meeting as I believe they will have a useful input to make. However, please be assured that, as far as reasonably possible, the process will be treated as confidential.

If you have any queries prior to the meeting, please let me know.

Yours sincerely

NAME

JOB TITLE

Cc Human Resources Representative

Model Letter 4 – Following a Review Meeting – Successful Outcome

Dear (NAME)

I refer to the recent review meeting held under the school's Developing Performance Policy to discuss your progress against the previously agreed Support Plan.

I am very pleased to confirm that significant and sustained progress has been demonstrated, enabling the Support Plan process to cease. Normal performance management arrangements will continue.

I would like to congratulate you on making such good progress and look forward to its continuation. Should you wish to discuss any aspect of your work with me in the future please do not hesitate to do so.

Yours sincerely

NAME

JOB TITLE

Cc Human Resources Representative

Model Letter 5 – Following a Review Meeting – Partially Successful Outcome

Dear (NAME)

I refer to the recent review meeting held under the school's Developing Performance Policy to discuss your progress against the previously agreed Support Plan.

I am pleased to confirm that you have demonstrated some significant progress, though not sufficient to bring an end to the process at this stage.

Accordingly, as discussed, a further period of support and monitoring will take place, with a review on (DATE and TIME).

Please include as appropriate: As explained previously, I confirm that issues raised in this process may have a detrimental effect upon your incremental progression.

I enclose a copy of your revised Support Plan. As ever, if you have any comments or concerns about the process, at any time, then please contact me without delay.

Finally I should like to recognise the progress you have made to date and look forward to its continuation during the next period of monitoring and support in order to bring this matter to a satisfactory conclusion.

Yours sincerely

NAME

JOB TITLE

Encl: Revised Support Plan

Cc Human Resources Representative

Model Letter 6 – Following a Review Meeting – Unsuccessful Outcome

Dear (NAME)

I refer to the recent review meeting, held under the school's Developing Performance Policy, to discuss your progress against the previously agreed Support Plan.

Following an assessment of your performance I must confirm that insufficient progress has been made and you are not meeting the standards required in your post of (JOB TITLE). Accordingly, as discussed, you will move into the Capability Procedure which will allow you a final opportunity to reach the required standards of performance.

(SUPPORT STAFF ONLY - As explained previously, I confirm that issues raised in this process may have a detrimental effect upon your incremental progression).

I will contact you again shortly with the date of the first meeting under the Capability Procedure. In the meantime, if you have any comments or queries about the process please let me know immediately.

Finally, may I remind you of the availability of staff support available through Health Assured, an employee assistance programme, which offers confidential counselling and support (0800 030 5182) and the advisability of contacting your trade union representative without delay, if you have not already done so.

Yours sincerely

NAME

JOB TITLE

Cc Human Resources Representative

**Responsibility for Dealing with
Capability Issues**

<u>Type of Staff Requiring Support</u>	<u>Lead Responsibility</u>	<u>Support Roles</u>	<u>Notes</u>
Headteacher	Chair of Governors with Q and I Adviser	Senior Q and I Adviser HR Manager/ Senior HR Adviser	Seniority of support roles may depend on size/type of school. Possible involvement of another senior Governor
SMT Members	Headteacher with Q and I Adviser*	Senior HR Adviser	Possible involvement of Chair of Governors or another senior Governor
Teachers (Secondary School)	Head of Department	Head of Faculty Q and I Adviser Subject Q and I Adviser Senior HR Adviser	General support from Headteacher or other SMT member
Teachers (Primary School)	Headteacher	Q and I Adviser Subject Q and I Adviser (possibly) Senior HR Adviser	Possible involvement of Deputy/Asst Headteacher/KS Co-ordinator
Support Staff (Secondary School)	Line Manager	School SMT Member LA Specialist (possibly) Senior HR Adviser	General support from Headteacher, depending on level of post
Support Staff (Primary School)	Line Manager	Headteacher or other SMT Member LA Specialist (possibly) Senior HR Adviser	Involvement depends on size of school. In small primary schools Headteacher will be the only line manager

*The participation of a Q & I Adviser and other LA advisers may vary between cases and is likely to be more prominent in primary schools.