



**Policy Number**

**28**

**Appraisal Policy:**

**Teacher's Appraisal Scheme**

**Support Staff Appraisal Scheme**

**Estates and Facilities Staff Appraisal Scheme**

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## **1. POLICY PURPOSE**

- 1.1 This policy sets out the framework for the clear and consistent assessment of the overall performance of all staff working for Ebor Academy Trust and for supporting their development within the context of the Trust's plan for improving educational provision and performance.
- 1.2 The policy takes account of the DfE's guidance for teachers and also ACAS guidance documents. Information about pay and pay progression is contained in the Trust's Pay Policy.

## **2. POLICY AIMS**

The aims of this policy are:

- 2.1 To ensure that each individual employee understands how his/her role contributes to the work of the wider school/ Trust. This is usually done through the setting of objectives for the year ahead and reviewing progress against them annually.
- 2.2 To ensure that each person is afforded the time within their normal working hours at least once a year to discuss his/her work with their line manager (or relevant other) and receive feedback which is motivating and constructive. For teaching staff, the appraisal will take place in directed time, unless otherwise agreed.
- 2.3 To provide a framework for capturing the discussions which is relevant to the post in question.

## **3. POLICY PRINCIPLES**

- 3.1 The appraisal process is intended to be fundamentally supportive and developmental so that the Trust provides the best standard of service to its children and so that all members of staff feel as fulfilled as possible in their work. Therefore the performance review process should be motivational and engaging for the appraisee, recognising work well-done, giving space for the individual to speak about how they are feeling about work and facilitating their ongoing development. Appraisers will approach the performance review in this spirit.
- 3.2 When setting objectives as part of the appraisal process, due regard will be made of the need for each person to achieve a healthy work-life balance. The appraisal discussion could be a suitable time for the individual to discuss any personal, as well as workplace, issues, should they wish to do so; if that is the case the appraiser will signpost the appraisee to appropriate support.
- 3.3 It is recognised that effective recruitment underpins strong performance. Recruitment to posts and the allocation of duties should be based on the requirements of the job description, person specification and, where relevant, the Teacher Standards, and undertaken by trained, senior staff through a robust process.
- 3.4 Any shortcomings in an individual's performance should be discussed with them informally at the earliest stage possible and help and support provided in a timely manner so that satisfactory performance can be quickly resumed and the individual can meet their performance targets. Feedback should be objective, focusing on the performance and not the individual's character.

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- 3.5 The policy should always be applied in a conscientious way whilst minimising the impact on workload for teachers, line managers, headteachers and local governing bodies.
- 3.6 It may be felt that objective setting may not be relevant in the case of fully competent estates and facilities staff. This is reflected in the relevant appraisal paperwork. However, objectives will still be set for such staff when they are still developing in their performance.
- 3.7 The appraisal period will run for a twelve month period as follows:
- a) Teaching staff – the appraisal discussion usually takes place in September or October
  - b) Headteachers – appraisals usually take place from October to December
  - c) Support staff – appraisals usually take place between July through to October. This may vary at the discretion of the school.
- 3.8 Regular informal, one-to-one meetings to review performance, recognise work well done and share feedback are encouraged. The meetings outlined in this document are underpinned by a culture of ongoing dialogue and, wherever possible, mid year reviews.
- 3.9 The details of the appraisal discussion are confidential between the appraiser and appraisee. The report of the meeting will be agreed between both parties and may be shared with the line manager's manager, if appropriate, or with members of the HR team for monitoring, quality assurance and data collection purposes. The records will be stored and retained on the individual's personal file in accordance with the Trust's data protection policies. (If the appraisal record is not agreed, see para 5.6).
- 3.10 Appraiser training will be provided for all staff conducting appraisals who have not received it previously, or who request it. Appraisee training will be provided on request.
- 3.11 All staff employed on a fixed term contract of less than one year will have their performance managed in accordance with the principles underpinning this policy and their objectives should take account of the length of contract.

#### **4. ROLES AND RESPONSIBILITIES**

##### **4.1 The Trust will:**

- a) Encourage a culture in which all staff take responsibility for improving their practice through appropriate professional development. Professional development will be linked to school improvement priorities and to the ongoing professional development needs and priorities of individuals.
- b) Set clear targets for each school's performance, which can then be cascaded down to each team member.
- c) Ensure that its processes for recruitment, induction and performance management are effective and regularly reviewed.
- d) Ensure that the appraisal process is managed in a way that avoids increased workload for all parties concerned by seeking views from appraisees and appraisers of the process.

#### *4.2 School or CST Senior Management Team will:*

- a) Ensure that roles are clearly defined through up to date, accurate job descriptions and that standards of performance are clearly articulated.
- b) Ensure that their team members have access to the appropriate time, support and development to enable them to succeed in their work.
- c) Discuss concerns about performance with the relevant member of staff honestly and promptly and with a view to facilitating improvement informally, keeping notes where necessary.
- d) Ensure that all members of staff understand the appraisal process, its purpose and operation, and are appropriately trained to participate fully in it.
- e) Ensure that the appraisal process is managed in a way that avoids increased workload for all parties concerned.
- f) Decide who will appraise the various staff within their school/ team.
- g) Conduct drop-in observations, where necessary, to evaluate standards of teaching; facilitating a culture where this is regarded as a supportive, normal practice.
- h) Provide all staff with their appraisal reports.

#### *4.3 HR will:*

- a) Provide advice and guidance to managers on the implementation of this policy.
- b) Provide training for staff on performance review and objective setting as required.
- c) Develop systems for the collation of data on performance review outcomes.
- d) Undertake periodic review of the policy, in particular to ensure consistency of treatment and fairness in its operation.
- e) Undertake periodic auditing to ensure that appraisal documents are kept securely and confidentially.

#### *4.4 Individuals will:*

- a) *Engage fully with the appraisal process, including preparing thoroughly for performance review meetings as well as actively contributing to discussions, the setting of objectives and agreeing of training plans.*
- b) Listen to constructive feedback given by colleagues and managers with the aim of continuously improving performance.
- c) Voice concerns where they believe the appraisal process has become too work intensive.

## 5. APPRAISERS AND APPRAISAL SCHEMES

5.1 Appraisers in Ebor Academy Trust are as follows:

Role	Appraiser	When
CEO	Chair of Trustees, supported by an appropriately skilled/ experienced external adviser, appointed for that purpose.	Review at end of academic year, objective setting early in the autumn term
Executive Headteacher / COO	CEO	Review at end of academic year, objective setting early in the autumn term
CST staff	Line manager	Review and objective setting at end of academic year
Headteachers	Executive Head and Chair of LGB	October – December annually. A mid year review will take place with the Chair of the LGB only.
School management team	Headteacher	September/ October annually.
Other school staff	Line manager	Timing annually, but at the discretion of the headteacher

5.2 It is usual for the individual's line manager to undertake the individual's appraisal. However, if, in exceptional circumstances, the individual feels that this is not appropriate, they should discuss this with a suitable senior member of the school/ department, or with a member of the HR team, who will consider the matter and, if appropriate, find an alternative appraiser.

5.3 There are three appraisal schemes in operation across Ebor Academy Trust:

- a) An appraisal scheme for teaching staff (appendix 1)
- b) An appraisal scheme for administrative and clerical staff, teaching assistants and wellbeing staff (appendix 2)
- c) An appraisal scheme for facilities staff (appendix 3).

5.4 Each scheme is accompanied by its own set of guidance notes. Training is available and mandatory for all appraisers and also available for appraisees if they wish to undertake it.

5.5 After the appraisal, the line manager will provide the individual with a written copy of their appraisal report using the paperwork applicable to the appraisee's role. Both the appraisee and appraiser will sign the report.

- 5.6 If the appraisee disagrees with any aspect of the appraisal report they should discuss it in the first instance with the appraiser, with a view to reaching agreement. If, having had that discussion, the appraisee still feels that the report is inaccurate or unfair, they have the right to appeal against it.
- 5.7 The appraisee may appeal if they believe the appraiser:
- a) Failed to take proper account of relevant evidence or information
  - b) Took account of irrelevant or inaccurate evidence
  - c) Showed unfair bias or discrimination towards them.
- 5.8 The appeal should be sent to the appraisee's line manager's manager, or another manager of similar seniority, who will speak with both parties and make an appropriate decision, depending on the facts.

## Appendix 1:

# Teacher's Appraisal Scheme

This document should be read in conjunction with the Trust's Appraisal Policy.

## 1. Setting targets

Objectives for each teacher will be set before, or as soon as practicable after, the start of each appraisal period. The objectives set for each teacher will be Specific, Measurable, Achievable, Realistic and Time-bound (SMART) and will be appropriate to the teacher's role and level of experience. The appraiser and teacher will make every effort to discuss and agree the targets. If for some reason that is not possible, the appraiser will determine the objectives and the appraisee can document any concerns they may have. Teachers' work-life balance will be taken into consideration when objectives are set and the objectives will take into account the length of the individual appraisee's contract to ensure objectives are realistic and fair.

Each teacher, including the Head Teacher, will have no more than 3 objectives as standard, although each teacher (not their appraiser) may choose to negotiate more than this. These objectives may be revised if circumstances change and all teachers are advised to discuss their targets, priorities and progress mid-cycle (February-March).

The objectives set for each teacher will, if achieved, contribute to the school's plans for improving the school's educational provision and performance and improving the education of pupils at that school. This will be ensured by using a clear structure and framework for the target setting process, and by making sure the targets are quality assured against the school improvement plan. Objectives and performance management discussions will not be based on teacher generated data and predictions, or entirely on assessment data for a single group of pupils. Objectives may be set in relation to robust assessment data, but these will not be used in isolation and other factors will always be considered when making pay progression decisions (see Making Data Work 2018).

## 2. Reviewing performance

The Teacher's Standards are the backdrop which will be borne in mind when assessing a teacher's performance.

### Observation

The Trust believes that observation of classroom practice and other responsibilities is important both as a way of assessing teachers' performance in order to identify any particular strengths and areas for development they may have, and also of gaining useful information which can inform school improvement more generally. All observation will be carried out in a supportive fashion with the aim of recognising work well done and identifying where further support may be useful.

Through this, school teacher's performance will be regularly observed but the amount and type of classroom observation will depend on the individual circumstances of the teacher and the overall needs of the school. Classroom observation will be carried out by those with QTS. In addition to formal observation, head teachers or other leaders with responsibility for teaching standards may "drop in" in order to evaluate the standards of teaching and to check that high standards of professional performance

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are established and maintained. The length and frequency of “drop in” observations will vary depending on specific circumstances.

Teachers (including the head teacher) who have responsibilities outside the classroom should also expect to have their performance of those responsibilities observed and assessed.

The following guidelines will be adhered to:

- a) The number of official observations will not exceed three sessions each year
- b) Observations will not exceed one hour per session and will include no more than two observers, usually one
- c) The focus and timing of annual observation sessions will be agreed in consultation with the teacher
- d) Observations will be conducted with professionalism, integrity and courtesy
- e) Observations will be conducted objectively
- f) Observation reports will be accurate and fair
- g) The confidentiality of the information in the report will be respected
- h) Observations will not add to teachers’ overall workload.

### **3. Development and support**

Appraisal is a supportive process which will be used to inform continuing professional development. The Trust wishes to encourage a culture in which all teachers take responsibility for improving their teaching through appropriate professional development. Professional development will be linked to school improvement priorities and to the ongoing professional development needs and priorities of individual teachers.

### **4. Feedback**

Teachers will receive constructive feedback on their performance throughout the year in ongoing dialogue. Verbal feedback will be given on the same day as the observation in all but exceptional circumstances and as soon as practicable when other evidence has come to light. Feedback will highlight particular areas of strength as well as any areas that need development.

Where there are concerns about any aspects of the teacher’s performance the appraiser will meet the teacher formally to:

- a) give clear feedback to the teacher about the nature and seriousness of the concerns;
- b) give the teacher the opportunity to comment and discuss the concerns;
- c) agree any support (e.g. coaching, mentoring, structured observations), that will be provided to help address those specific concerns;
- d) make clear how, and by when, the appraiser will review progress;
- e) explain the implications and process if no – or insufficient – improvement is made.

When progress is reviewed, if the appraiser is satisfied that the teacher 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. If the appraiser believes that insufficient progress has been made, the teacher will be notified of this and the next steps to be taken to facilitate improvement.

## **5. Annual assessment**

Each teacher's performance will be formally assessed in respect of each appraisal period.

This assessment is the end point to the annual appraisal process, but performance and development priorities will be reviewed and addressed on a regular basis throughout the year in interim meetings which will take place, such as the mid-year review.

The teacher will receive as soon as practicable following the end of each appraisal period – and have the opportunity to comment in writing on - a written appraisal report. The appraisal report will include:

- a) details of the teacher's targets for the appraisal period in question
- b) an assessment of the teacher's performance of their role and responsibilities against their targets and the relevant standards
- c) an assessment of the teacher's training and development needs and identification of any action that should be taken to address them
- d) a recommendation on pay where that is relevant (NB – pay recommendations need to be made by 31 December for the Head Teacher and by 31 October for other teachers).

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

## Appraisal Form for Teaching Staff

School:  
Name of Reviewee:  
Name of reviewer:  
Date of Review:

Objective 1- Whole School	Success Criteria	Strategies to fulfil criteria

CYCLE 1: Evidence from interim review	CYCLE 2: Evidence from Interim review	CYCLE 3: Evidence from Interim review
<b>Final Statement: Has this objective been achieved?</b> - <i>(Comments from the individual being appraised &amp; from the line manager/ appraiser).</i>		
Objective 2 – Personal – Teaching & Learning	Success Criteria	Strategies to fulfil criteria

CYCLE 1: Evidence from interim review	CYCLE 2: Evidence from Interim review	CYCLE 3: Evidence from Interim review
<b>Final Statement: Has this objective been achieved?</b> - <i>(Comments from the individual being appraised &amp; from the line manager/ appraiser).</i>		

Objective 3 – Wider Professional Effectiveness	Success Criteria	Strategies to fulfil criteria
CYCLE 1: Evidence from interim review	CYCLE 2: Evidence from Interim review	CYCLE 3: Evidence from Interim review
<b>Final Statement: Has this objective been achieved?</b> - <i>(Comments from the individual being appraised &amp; from the line manager/ appraiser).</i>		

SUMMARY INFORMATION IN RELATION TO OTHER OUTCOMES/ACHIEVEMENTS		
1	What have been your particular strengths during the year (e.g. your skills, attitudes or attributes)?	
2	Is there anything else you feel you have achieved over the past year/is there anything that you have achieved that you are particularly proud of? (e.g. a specific piece of work, overcoming a challenge, or achieving a particular standard)	
3	Is there anything you could have done better or differently that would have improved your performance? (e.g. a specific piece of work, your attitude towards a colleague, or your time keeping)	
4	Are there any barriers to you achieving high performance in your role? (e.g. training, workload, or equipment)	
5	How do you feel your performance has contributed to the performance of the academy/trust? (e.g. consistency of service, improved process, or indirectly supported teaching and learning/pupil outcomes)	
6	What are your ambitions moving forward and what do you feel you need to achieve these?	

## OVERVIEW OF PERFORMANCE MANAGEMENT REVIEW FINDINGS

**Comments from the Individual being appraised:**

**Comments from the Line Manager/Appraiser:**

**Taking account of the full range of evidence in relation to the Performance Management Objectives it is agreed that the Objectives for *insert year* have been MET/PARTIALLY MET/NOT MEET/EXCEEDED**

**The reviewee is eligible for consideration for pay progression for:**

- Main scale progression (M1 to M6)
- Upper Pay Spine progression
- Leadership Group Spine progression

**Pay progression recommendation, taking into account the relevant criteria within STPCD and the Trust Pay Policy:**

- **Either:** Based on the outcomes of the performance review, pay progression on the relevant spine **is recommended**
- **Or:** Based on the outcomes of the performance review, pay progression on the relevant spine **is not recommended**

**Signed:**

*(Teacher)*

**Date:**

**Signed:**

*(Line Manager/Performance Manager)*

**Date:**



## Support Staff Appraisal Scheme

### Appraisal for support staff – what it is and how to prepare

Your annual appraisal is a chance for you to meet with your line manager (or in some cases, a nominated other) to talk about your achievements over the year, receive feedback on how well you have met your objectives and discuss any work related aspirations you may have for the following year. Although it is a professional, recorded discussion, the tone of the appraisal should always be as informal and positive as possible.

The aims of the appraisal process are:

- a) To review your performance over the period in question, in particular assessing whether or not you have achieved the previous objectives set.
- b) To discuss the training and development you have had over the period in question and how it has benefitted you and your work for the Trust.
- c) To discuss wider issues about your role, any concerns you may have and any suggestions you may have about how improvements could be made.
- d) To agree objectives for the following year. These should always be SMART – specific, measurable, achievable, relevant and timebound. That way what is to be achieved should be clear to you and both you and your reviewer will know whether or not the objective has been achieved.
- e) To discuss what additional training, development, resources or other support you might need to be able to achieve your objectives.
- f) To check whether your job description still accurately reflects your role, or needs changing.
- g) If you would like to, to discuss your career development aspirations.

You will be given at least a week's notice of your appraisal. The meeting will take place in an appropriate, private place, free from interruptions, during your normal working hours. The meeting should be an honest and open discussion and is not an opportunity for your line manager to present serious concerns about your performance; if there are such concerns these should have been discussed with you in a separate meeting specifically for that purpose.

The content of your discussion will be summarised on a form which will be given to you after the meeting.

***You will get the most out of your appraisal if you prepare in advance.*** The meeting is a great opportunity to talk about your thoughts with your line manager and get feedback on your performance. To help you to prepare, you may wish to reflect on the following questions alongside considering the objectives set for the period in question:

- What do you consider to have been your strengths over the past year?
- What do you feel you have done particularly well – what are you most proud of?
- Is there anything that you feel in hindsight that you could have done better or differently? This might be how you did something or something personal to you, such as your attitude or timekeeping.
- Are there any barriers to you performing well in your role?
- Where do you feel you have a development need and how might this need be met?
- Are you happy with the support you receive from your line manager and colleagues – could anything be improved?
- Do you have any ideas for improvement for the work or operation of the Trust generally?
- How do you see your career developing over the next year or longer and how could this be met in the Trust?
- Is there anything else you would like to mention as part of your appraisal?

You don't have to share any thoughts in advance with the individual conducting your performance review.

A copy of the blank appraisal form is available on the website and if you would like any more information about the process, please feel free to talk to your line manager or a member of the HR team.

## Support Staff Appraisal Form

*year*

**Name:**

**Role:**

**Workplace:**

**Date of Review:**

**Line Manager/ Appraiser:**

APPRAISAL – review against objectives for previous year		
Objective 1	Impact achieved, including dates where relevant	Objective exceeded/ met/ partially met/ not met
Objective 2	Impact achieved, including dates where relevant	Objective exceeded/ met/ partially met/ not met
Objective 3	Impact achieved, including dates where relevant	Objective exceeded/ met/ partially met/ not met

Objective 4	Impact achieved, including dates where relevant	Objective exceeded/ met/ partially met/ not met
Objective 5	Impact achieved, including dates where relevant	Objective exceeded/ met/ partially met/ not met

Review of training and development activity undertaken over the year including impact on performance and personal development

<b>APPRAISAL – objectives for year ahead</b> (All objectives should be SMART – specific, measurable, achievable, relevant, timebound)			
<b>Objective 1</b>	<b>Further information, key milestones etc</b>	<b>Additional support, training or resources required</b>	<b>Completion due date</b>
<b>Objective 2</b>	<b>Further information, key milestones etc</b>	<b>Additional support, training or resources required</b>	<b>Completion due date</b>
<b>Objective 3</b>	<b>Further information, key milestones etc</b>	<b>Additional support, training or resources required</b>	<b>Completion due date</b>

Objective 4	Further information, key milestones etc	Additional support, training or resources required	Completion due date

Summary of training or development requirements for forthcoming year, including how these needs should be met e.g. training course, on the job learning, job shadowing etc.

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## OVERVIEW OF APPRAISAL

Comments from the individual being appraised:

Comments from the line manager/ appraiser:

Taking account of the full range of evidence in relation to the performance management objectives it is agreed that the objectives for *insert year* have been:

MET / PARTIALLY MET/ NOT MET / EXCEEDED

Does the individual's job description still accurately reflect their role? Yes / No

If you have answered 'no', please contact your HR representative

Signed:

Appraisee

Date:

Signed:

Line manager/ appraiser

Date:



## **Estates and Facilities Staff Appraisal Scheme**

*Appraisal Scheme for Estates and Facilities staff i.e. cleaning / catering / caretaking colleagues*

### **Appraisal for Estates and Facilities staff – what it is and how to prepare**

Your annual appraisal is a chance for you to meet with your line manager (or in some cases, a nominated other) to talk honestly about your job and working life with Ebor Academy Trust. It may be that you do this regularly, but we know that all too often, this may not happen, either because you and your line manager don't work at the same times or in the same place, or maybe because there just isn't time. The appraisal discussion is about making time to have a conversation.

During the appraisal discussion, it's usual to discuss:

- Whether your job description still accurately describes what you do
- How you feel about your role and whether you have any concerns you would like to raise, or have suggestions for how we could make improvements
- How well you are performing in the role and whether or not any training or support is required
- If you would like to, to discuss your career development aspirations.

Although it is a professional, recorded discussion, the tone of the appraisal should always be as informal and positive as possible. It is never an opportunity for your manager to present serious concerns about your performance; if there are such concerns these should have been discussed with you in a separate meeting specifically for that purpose.

You will be given at least a week's notice of your appraisal. The meeting will take place in an appropriate, private place, free from interruptions, during your normal working hours. The content of your discussion will be summarised on the form below and you will be given a copy of the completed version, after the meeting.

***You will get the most out of your appraisal if you prepare in advance, by thinking about your work,*** such as:

- What do you think you do well?
- Is there anything that you feel you could do better or differently and what could help you achieve this?
- Are there any barriers to you performing well in your role?
- Might you benefit from some additional training or support?
- Are you happy with the support you receive from your line manager and colleagues – could anything be improved?
- Do you have any ideas for improvement for the work or operation of the Trust generally?
- Is there anything else you would like to mention as part of your appraisal?

You don't have to share any thoughts in advance with the individual conducting your performance review.

A copy of the blank appraisal form is available below and if you would like any more information about the process, please feel free to talk to your line manager or a member of the HR team.

**Appendix 6:**

**Estates and Facilities Staff Appraisal Form**

<b>Appraisee Name</b>		<b>Job title</b>	
<b>School</b>		<b>Date of appraisal</b>	
<b>Appraiser name</b>		<b>Appraiser job title</b>	
<b>Period under review</b>			

**Review of job description – does the job description still accurately reflect the role required, or does it need amending?**

Assessment of performance (tick as appropriate)		
<b>Job Role</b> Is the employee able to undertake all the duties of the job description?	Yes – the employee is undertaking all the duties on the job description to the required standard.	Partially – some further support and training is required. Describe the training/ support required and its desired outcome:
<b>Health and Safety awareness</b> Does the employee demonstrate safe working practices?	Yes – the employee shows a good attitude to safety at all times, is always legally compliant and familiar with policy.	Partially - refresher training / new training needed. Describe the training/ support required and its desired outcome:
<b>Dependability and Reliability</b> Can the employee be relied upon to perform consistently well?	Yes – the employee is very reliable/ dependable with supervision rarely required.	Partially - some further support and/or training is required. Describe the training/ support required and its desired outcome:
<b>Teamwork</b> Does the employee work with colleagues to accomplish the job role?	Yes – the employee works well with colleagues to meet the needs of the service.	Partially – some further support and/or training is required. Describe the training/ support required and its desired outcome:
<b>Communication</b> Is the employee effective is the employee at communicating with colleagues?	Yes – the employee is usually a good communicator.	Partially – some further support and/or training is required. Describe the training/ support required and its desired outcome:

<b>Training:</b>	
<b>Safeguarding:</b> Does the employee understand the safeguarding requirements of the role and put this into practice?	Yes / No
Outline any further safeguarding training required:	
<b>Objectives:</b>	
Any agreed job related objectives, including timescale for achievement and the standard to be reached:	
<b>Comments by appraise:</b>	
<b>Comments by appraiser:</b>	

Signed (appraisee)..... Date .....

Signed (appraiser)..... Date .....