

Appraisal Policy

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1. Introduction

- 1.1 The Trust is committed to providing high quality teaching and learning. Through our workforce we aim to provide opportunities for all of our pupils, whatever their ability. Each employee will therefore be given support to ensure that they have the skills they need to carry out their role, help them continually improve their performance and develop to their full potential which will in turn help improve outcomes for our young people.
- 1.2 Having an effective performance management process in place is one of the ways we can support our employees and deal with performance matters as they arise. This involves effective day-to-day supervision, carrying out appraisals, providing development opportunities and operating a fair and reasonable capability process.
- 1.3 This appraisal policy has been developed to comply with current legislation including the Education (School Teachers' Appraisal) (England) Regulations 2012 (the Appraisal Regulations).
- 1.4 This policy has been agreed following consultation with staff and the recognised trade unions.
- 1.5 This policy does not form part of any employee's contract of employment and may be amended at any time. This policy may be amended at any time following consultation with staff and the recognised trade unions

2. Scope and purpose of this policy

- 2.1 The purpose of this policy is to set out the framework for a clear and consistent assessment of the overall performance of all employees, and for supporting their development within the context of the Trust's plan for improving educational provision and performance, and the set standards expected of each employee.
- 2.2 This Trust regards the Department for Education Teachers' Standards as the baseline of expectations for the professional practice and conduct of teachers, from the point of qualification. Teacher's standards will not be used as a tick list against which a teacher's performance is assessed.
- 2.3 The Trust has decided use the principles of the Appraisal Regulations and apply them to support staff employed within the Trust, to ensure consistency across all employees.
- 2.4 This policy applies to all employees of the Enrich Learning Trust, including teachers and support staff, except those on contracts of less than one term, those undergoing induction and those who are subject to the Trust's Capability Policy. It does not apply to agency workers.
- 2.5 Employees within a probationary period are, in addition, subject to the Trust's Probationary Policy.
- 2.6 Where an employee is not covered by this policy as set out in 2.4 above, then performance will be managed through regular supervision and feedback.

3. The appraisal period

- 3.1 The appraisal period for teaching staff will run for twelve months from September to August and for support staff from June to May.
- 3.2 Employees who are employed on a fixed term contract of less than one year but more than one term will have their performance managed in accordance with the principles underpinning this policy. The length of the period will be determined by the duration of their contract.

4. Appointing appraisers

- 4.1 The Head Teacher/Principal will be appraised by the Governing Body. This has been delegated to a sub-group of two governors and the CEO. In appraising the performance of the Head Teacher/Principal the Governing Body must consult the appointed external advisor.
- 4.2 Each Head Teacher/Principal of the Trust will decide who will appraise all other employees. Anyone designated as a reviewer should carry out all aspects of performance management planning and review, including making any pay recommendations for eligible teachers. An appraiser is normally the line manager or must be someone appropriate. In the case of teaching staff this must be by a qualified Teacher.
- 4.3 Employees will be notified of who their appraiser will be, before or as soon as practicable after the start of each appraisal period.

5. Setting objectives

All employees

- 5.1 A maximum of 3 objectives for each employee will be set before or as soon as practicable after, the start of each appraisal period. The objectives will be Specific, Measurable, Achievable, Realistic and Time-bound (SMART) and will be fair, reasonable and not necessarily numeric and appropriate to their role and level of experience. The appraiser and appraisee will seek to agree the objectives but, if that is not possible, Teachers should have provision to register objections on the appraisal record if the objectives are not agreed. The appraiser will determine the objectives. Pupil performance data should not be used as an objective but may be used as evidence of the successful implementation of a strategy to meet an objective.
- 5.2 Objectives may be revised if circumstances change during the appraisal period.
- 5.3 The objectives set for each employee will, if achieved, contribute to the Trust's plans for improving educational provision and performance and improving the education of pupils. The Head Teacher/Principal of the Trust together with the senior leadership team will be responsible for quality assuring objectives set across the Academy against the Trust's improvement plan.
- 5.4 The performance of each employee will be assessed against the relevant standards, which contribute to our aims and provide a guide for employees in their relevant role. At this Trust, the standards for Teachers are set out in the Teachers' Standards.

6. Reviewing performance

Observation

Teachers and teaching assistants

- 6.1 This Trust understands the importance of carrying out observation of classroom practice and other responsibilities of teachers and teaching assistants. Observation assesses performance to identify strengths (so the appraiser can give positive feedback and praise) and areas for development but also provides a way of gaining useful information which can inform improvements in the Trust more generally.

- 6.2 In this Trust, performance will be regularly observed but the amount and type of classroom observation will depend on the individual circumstances of the employee and the overall needs of the Trust, within normal appraisal and performance management process a maximum of 3 observations will be carried out in any one year. Responsibilities outside the classroom will also be observed and assessed where appropriate. All observation will be carried out in a supportive fashion. Classroom observation for teachers will be carried out by those with QTS and for teaching assistants by those with QTS or a HLTA.

Teachers requiring support - the nature of this support (and any additional observations) should be agreed with the teacher supported by their trade union representative.

Teachers under formal capability procedures fall outside the Appraisal policy.

- 6.3 In addition to formal observation, the Head Teacher/Principal or other leaders with responsibility for teaching standards may “drop in” in order to evaluate the standards of teaching and classroom practice and to check that high standards of professional performance are established and maintained. The length and frequency of “drop in” observations will vary depending on specific circumstances. “Drop in” can be used to provide feedback to teachers as part of the ongoing supportive nature of the appraisal process. ‘Drop ins’ should not be used as part of the formal appraisal process but this does not preclude professional dialogue taking place as a result of such observations

Development and support

- 6.4 Our appraisal process is used to inform and decide continuing professional development which improves performance. The Trust encourages a culture in which all employees take responsibility for improving their performance in their role and extending their depth of knowledge through appropriate professional development. Agreed training and professional development will be linked to Trust improvement priorities and where possible, to the ongoing professional development needs and priorities of individuals. We are committed to supporting appropriate and reasonable development which not only assists the employee in their role but also leads to improvements in performance across the Trust.

Feedback

- 6.5 Within this Trust, employees will receive constructive feedback on their performance throughout the year and as soon as practicable after an observation has taken place (where applicable) or other evidence has come to light. Feedback should highlight particular areas of strength as well as any areas that need attention. Often this can resolve issues without the need for any formal action.
- 6.6 Feedback will also be sought from relevant employees within the Trust for example, a teacher may be asked to provide feedback on a teaching assistant who works with them.
- 6.7 Where there are concerns about any aspects of an employee’s performance the appraiser will meet the appraisee to:
- (a) give clear feedback about the nature and seriousness of the concerns;
 - (b) give the appraisee the opportunity to comment and discuss the concerns;
 - (c) find out if there are any issues (both in or outside of work) that are affecting their performance that the appraiser can assist with or provide support;

- (d) make clear what improvements need to be made and how this can be achieved;
- (e) agree any support (for example coaching, mentoring, training, structured observations, observing others in a similar role etc), that will be provided to help address those specific concerns;
- (f) make clear how, and by when, the appraiser will review progress either by setting new and clear objectives which will be assessed during the review period or by revising current objectives, allowing sufficient time for improvement; the amount of time for this should reflect the seriousness of the concerns. This will be an informal review period and will be confirmed in an Action Plan;
- (g) explain the implications and process if no – or insufficient – improvement is made during the informal review period i.e. the application of the capability policy.

- 6.8 This meeting can happen at any time during the appraisal period. It is designed to be a supportive meeting to address issues early to avoid the matter escalating, giving the employee the opportunity to improve. At the meeting, the appraiser will present evidence collected that indicates that the employee's performance is not up to the required standard. There is no right to be accompanied to this meeting. (In exceptional circumstances the Trust may let an employee be accompanied). Although this is part of an informal process, a note of the meeting will be made and a copy given to the employee so that they are clear about the support they will be given, what improvements need to be made and the timescales.
- 6.9 An informal review period will follow this meeting; the length will be determined by the appraiser based on the individual circumstances of the situation but it should not be unduly long. During the informal review period, regular meetings should take place to ensure progress is being made.
- 6.10 At the end of this informal review period 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. If performance is improving and the appraiser feels that further time is required to monitor improving performance, the appraiser can decide to extend the informal review period but it should not be unduly long. If no or insufficient improvement is being made, then the process set out below (section 9) should be followed. It will be for the appraiser to decide which procedure will be followed.

7. Annual assessment

- 7.1 Performance and development priorities will be reviewed and addressed throughout the process and an interim appraisal meeting may take place at the mid-point of the cycle (April or December) to review performance and progress towards objectives. This meeting should be scheduled in the planning statement and should be in directed time. Any concerns will be noted and an appropriate support plan will be put in place for the remainder of the cycle (see point 6.7). The support plan will set out what improvement is required and what support will be provided.

- 7.2 An annual assessment is the end point to the annual appraisal cycle and will formally assess each employee's performance in respect of that cycle. The employee will receive a written appraisal report as soon as practicable afterwards and within 5 days of the appraisal meeting, and have the opportunity to comment on it in writing. The appraisal report will be a summary of the performance during the year and set out what the employee's development needs are for the next year. In particular the report will include:
- (a) details of the objectives for the appraisal period in question;
 - (b) an assessment of performance against their objectives AND any relevant standards;
 - (c) a summary of observation findings if applicable;
 - (d) an assessment of training and professional development needs and identification of any action that should be taken to address them;
 - (e) a recommendation on pay if relevant. This will be in accordance with the Pay Policy, the appraisal review statement at the end of the cycle will be the only source of evidence teachers require to support pay progression.
- 7.3 The assessment of performance and of professional development needs from each individual appraisal will inform the planning process for the following appraisal period for the whole Trust.
- 7.4 Individuals have right of appeal, including where teachers are not awarded pay progression. Please refer to the Trust Pay policy for the appeal procedure.

8. Monitoring & Evaluation

All employees

- 8.1 During the appraisal period, each employee has a responsibility for gathering evidence of their progress throughout the year in order for them to identify any particular strengths or areas for further development at annual review meetings. The appraiser will then record the discussion on this evidence and make an assessment in the appraisal report.

Teachers

- 8.2 In addition, a range of relevant evidence against the set objectives should be available to the appraiser on a teacher's performance as part of the Trust's quality assurance processes. Evidence may include but is not limited to:
- (a) lesson observations (including "drop ins")
 - (b) work scrutiny
 - (c) planning scrutiny
 - (d) learning walks
 - (e) pupil feedback (where obtained)
 - (f) tracking data of pupil's progress
 - (g) progress of individuals/groups
 - (h) evidence of meeting Standards
 - (i) Assessment of TLR

9. Transition to Capability

- 9.1 Performance management is an ongoing process. If the appraiser is not satisfied with progress, despite all reasonable support being explored, 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, and will be invited to a formal capability meeting (see point 6.7).

10. General Principles Underlying This policy

Confidentiality

- 10.1 The appraisal process will be treated confidentially. Performance management review statements are confidential to the principal, appraiser and appraisee. However, the desire for confidentiality does not override the need for the Head Teacher/Principal and Governing Body to quality-assure the operation and effectiveness of the appraisal system. In each School/Academy the Head Teacher/Principal, in conjunction with the senior leadership team, is responsible for reviewing objectives and written appraisal records, in order to check consistency of approach and expectation between different appraisers.

Consistency of Treatment and Fairness

- 10.2 The Trust and the Governing Bodies are committed to ensuring consistency of treatment and fairness. It will abide by all relevant equality legislation, including the duty to make reasonable adjustments for disabled employees. The Governing Body is aware of the guidance on the Equality Act issued by the Department for Education.

Monitoring and Evaluation

- 10.3 The Governing Body and Head Teacher/Principal will monitor the operation and effectiveness of the appraisal arrangements. In developing, applying and evaluating this policy we will monitor the impact on different groups of people with protected characteristics in line with the Trust's Equal Opportunities policy. This will ensure that what we do is done fairly.

Retention and data protection

- 10.4 The Governing Body and Head Teacher/Principal will ensure that all written appraisal records are retained in a secure place. It is the appraiser's responsibility to ensure the Headteacher/Principal has a copy of all relevant documents. As part of the application of this policy, the Trust may collect, process and store personal data in accordance with our data protection policy. We will comply with the requirements of Data Protection Legislation (being (i) unless and until the GDPR is no longer directly applicable in the UK, the General Data Protection Regulation ((EU) 2016/679) and any national implementing laws, regulations and secondary legislation, as amended or updated from time to time, in the UK and then (ii) any successor legislation to the GDPR or the Data Protection Act 1998). Records will be kept in accordance with our Workforce Privacy Notice, our Retention and Destruction Policy and in line with the requirements of Data Protection Legislation.

11. Review of policy

- 11.1 This policy is reviewed annually by the Trust in consultation with the recognised trade unions. We will monitor the application and outcomes of this policy to ensure it is working effectively.