



## Appraisal Policy

Policy reviewed by Academy Transformation Trust and consulted on with unions. Agreement has not yet been reached; therefore consultation is on-going.	
Policy adopted by Local Governing Body on	Sept. 2014

This policy links to:	<i>Located</i>
<ul style="list-style-type: none"> <li>• Equal Opportunities Policy</li> <li>• Teachers’ Pay Policy</li> <li>• Capability Procedure</li> <li>• Teachers’ Standards</li> </ul>	} Website

**REVIEW DATE:** Ongoing

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## 1 Introduction

- 1.1 Academy Transformation Trust is committed to providing and supporting the provision of high quality teaching and learning for our pupils in our academies. Our aim is that every Trust academy is a centre of excellent teaching, providing opportunities for every pupil whatever their ability. Our workforce is at the heart of delivering this which means we want all our employees to be given every support to develop and fulfill their potential in their job, thereby improving outcomes for our young people.
- 1.2 Our aim is to continually develop and improve performance, guiding employees through their careers with The Trust. 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. As a Trust academy, we understand that managing and improving performance not only helps the employee but also the pupils and ultimately The Trust's academy community as a whole.
- 1.3 Revised appraisal arrangements for teachers came into force with effect from 1 September 2012. They are set out in the Education (School Teachers' Appraisal) (England) Regulations 2012 (the Appraisal Regulations).
- 1.4 The Appraisal Regulations set out the principles that apply to teachers in all maintained schools and unattached teachers employed by a local authority, where they are employed for one term or more.
- 1.5 The Trust in agreement with the Local Governing Body has decided to implement these Appraisal Regulations with regards to teachers in the academy as the 2006 Regulations are no longer in place from 1 September 2012.
- 1.6 The Trust in agreement with the Local Governing Body of the academy has decided use the principles of the Appraisal Regulations linked to incremental progression and apply them to support staff employed within the academy, to ensure consistency across all academy employees.

## 2 Purpose and application of the policy

- 2.1 This appraisal policy sets out the framework for a clear and consistent assessment of the overall performance of all employees excluding Principals of Trust academies, and for supporting their development within the context of the academy's plan for improving educational provision and performance, and the set standards expected of each employee.
- 2.2 The policy comprises the following sections:
  - Part A applies to the appraisal of teachers **except** Principals (where separate arrangements apply), those on contracts of less than one term, those undergoing induction (*ie* NQTs) and those who are subject to the academy's capability policy.

- Part B of the policy, applies to the appraisal all support staff employed by the academy, **except** those on contracts of less than one term, those undergoing probation and those who are subject to the academy's capability policy.
- 2.3 Where an employee is not covered by this policy as set out in 2.2 (part A and B) above, then performance will be managed through regular supervision and feedback.
- 2.4 A separate policy sets out how poor performance will be managed (capability policy). A separate performance management (appraisal and capability) policy applies to Principals.

### 3 Part A –Appraisal for Teachers

- 3.1 Appraisal in this academy will be a supportive and developmental process, involving an ongoing professional dialogue between the appraiser and teacher, to ensure that all teachers have the skills and support they need to carry out their role effectively. It will help to ensure that teachers are able to continue to improve their professional practice and to develop as teachers. Appraisal meetings will be carried out in directed time but not within teachers' PPA time.

#### The appraisal period

- 3.2 The appraisal period will run for twelve months from September to August. Teachers 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.

#### Appointing appraisers

- 3.3 The Principal of the academy will decide who will appraise each teacher. The appraiser will normally have line management responsibility for the teacher.

#### Setting objectives

- 3.4 At the beginning of each cycle the Principal and appraisers will discuss and plan the appraisal process to ensure appraisals are carried out correctly and that possible objectives are appropriate and contribute to teaching and learning and school improvement. Objectives for each teacher will be set before or as soon as practicable after, the start of each appraisal period. Under normal circumstances there will be no more than 3 objectives. 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 objectives will be fair and reasonable and the appraiser and teacher will seek to agree the objectives but, if that is not possible, the appraiser will determine the objectives. Objectives may be revised if circumstances change during the appraisal period.

- 3.5 The objectives set for each teacher will, if achieved, contribute to the academy's plans for improving educational provision and performance and improving the education of pupils at that school. The Principal of the academy together with the senior leadership team will be responsible for quality assuring objectives set across the whole academy against the academy's improvement plan.
- 3.6 Before, or as soon as practicable after, the start of each appraisal period, each teacher will be informed of the standards against which that teacher's performance in that appraisal period will be assessed. The standards for this academy are set out in the Teachers' Standards May 2012 and are available on the DfE website. The Trust recognises the importance of these standards as they not only provide a guide/backdrop to being a teacher but also contribute to achieving our aim of every Trust academy being a centre of excellent teaching, providing opportunities for every pupil whatever their ability. It is assumed that all teachers meet the standards and unless there is evidence that this is not the case then further action will be taken.

## Reviewing performance

### Observation

- 3.7 This academy understands the importance of carrying out observation of classroom practice and other responsibilities. Observation not only assesses teacher 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 academy more generally. All observation will be carried out in a supportive fashion. This academy operates an observation protocol (Appendix 1) which is reviewed regularly and is available on the intranet.
- 3.8 In this academy, teachers' 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, and in line with the observation protocol. Under normal circumstances the total time occupied by all observations will not exceed three hours per year (the length of an individual observation will not exceed one hour in duration) and the focus and timing must be agreed in the teacher's appraisal planning statement. For example the triggering of a support plan as outlined in section 3.11 would be outside normal circumstances. Classroom observation will be carried out by those with QTS. Although not part of the formal process, Principals or other leaders with responsibility for teaching standards may "drop in". This is in order to evaluate the standards of teaching and to check that high standards of professional performance are established and maintained. The length and frequency of "drop in's" will vary depending on specific circumstances (see observation protocol for more information). "Drop in" may be used to provide feedback to teachers as part of the ongoing supportive nature of the appraisal process.
- 3.9 Teachers who have responsibilities outside the classroom will also have their performance of those responsibilities observed and assessed.

### **Development and support**

3.10 The academy encourages a culture in which all teachers take responsibility for improving their teaching and extending their depth of knowledge through appropriate professional development. In addition our appraisal process is used to inform and decide continuing professional development which improves performance. Agreed professional development will be linked to academy improvement priorities and where possible to the ongoing professional development needs and priorities of individual teachers. At this academy, we are committed to supporting appropriate and reasonable development which not only assists the teacher in their teaching but also leads to improvements in performance across the academy.

### **Feedback**

3.11 Within this academy, teachers will receive constructive feedback on their performance throughout the year and as soon as practicable after an observation has taken place 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. The process will be as supportive as possible and where there are concerns about any aspects of the teacher's performance the appraiser will meet the teacher to:

- Give clear feedback to the teacher about the nature and seriousness of the concerns
- Give the teacher the opportunity to comment and discuss the concerns
- Find out if there are any issues (including issues outside work) that are affecting the teacher's performance that the appraiser can assist with or provide support
- Make clear what improvements need to be made by the teacher and how this can be achieved
- Agree any support (for example coaching, mentoring, structured observations, training, observing other teaching etc), that will be provided to help address those specific concerns;
- 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
- 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.

3.12 This meeting can happen at any time during the appraisal period and does not have to wait until the annual assessment. It is a supportive meeting, and designed to address issues early to avoid the matter escalating, giving the teacher the opportunity to improve. At the meeting, the appraiser will be required to present evidence collected that indicates that the teacher's performance is not up to the required standard. There is no right to be accompanied to this meeting. However The Trust will consider any reasonable requests to be accompanied on a case by case basis.

3.13 Although this is part of the informal process, a note of the meeting will be made and a copy given to the teacher so that they are clear about the support they will be given and what improvements (including review timetable) need to be made. The length of the informal

review period 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.

- 3.14 At the end of the informal review period 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 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 insufficient improvement is being made including only partial meeting of targets, then the process set out below (from section 3.22) should be followed. It will be for the appraiser to decide if the matter needs to be referred on.

## Annual assessment

- 3.15 Each teacher's performance will be formally assessed in respect of each appraisal period.
- 3.16 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 process. To ensure further support for employees an interim appraisal meeting may take place at the mid-point of the cycle (February). At this interim meeting, performance will be reviewed and progress towards objectives will be noted. Any concerns will be noted and an appropriate support plan will be put in place for the remainder of the cycle. The support plan will set out what improvement is required and what support will be provided.
- 3.17 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. In this academy, teachers will receive their written appraisal reports within 10 working days of the appraisal. The appraisal report will be a summary of the performance during the year and set out what the teacher's development needs are for the next year. In particular the report will include:
- details of the teacher's objectives for the appraisal period in question;
  - an assessment of the teacher's performance of their role and responsibilities against their objectives AND the relevant standards;
  - A summary of the observation findings
  - An assessment of the teacher's professional development needs and identification of any action that should be taken to address them
  - A recommendation on pay where that is relevant (*NB – pay recommendations need to be made by 1 September for other teachers*).
- 3.18 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 academy.
- 3.19 Performance and appraisal outcomes will be used to help inform pay decisions. Decisions around pay progression will be made in accordance with Academy Transformations Trust's

Pay Policy for determining teachers' pay. In line with the Trust's pay policy employees have a right to appeal any pay decisions.

## Monitoring & Evaluation

3.20 During the appraisal period, each teacher has a responsibility for ensuring there is a record of evidence of their progress throughout the year in order for them to identify any particular strengths or areas for further development at the interim (if applicable) and annual review meetings. The appraiser will then record the discussion on this evidence and make an assessment in the appraisal report.

3.21 In addition, Trust academies have a responsibility to ensure frameworks and processes are in place recording a range of evidence which should be available to the appraiser on the teacher's performance as part of the academy's quality assurance processes. Evidence may include as part of the appraisal process:

- Lesson observations
- Work scrutiny
- Planning scrutiny
- Tracking data of pupil's progress
- Progress of individuals/groups
- Assessment of TLR
- Other evidence by mutual agreement.

Principals and appraisers should use their professional judgment to assess teachers. The Trust's view is that in the context of appraisal undertaken as a positive and supportive process of professional dialogue and evaluation of practice, the teacher standards can be used to support the identification of objectives in the appraisal cycle.

3.22 The appraiser will then record the discussion on this evidence and make an assessment in the appraisal report.

## Transition to Capability

3.23 Performance management is an ongoing process. If the appraiser is not satisfied with progress, despite the support provided, 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.

## 4 Part B –Appraisal of Support Staff

- 4.1 Appraisal in this academy will be a supportive and developmental process designed to ensure that all members of support staff have the skills and support they need to carry out their role effectively. This helps ensure that support staff are able to continue to improve their practice and to develop as employees of the academy.

### The appraisal period

- 4.2 The appraisal period will run for twelve months from September to August. Support staff 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.

### Appointing appraisers

- 4.3 The Principal will decide who will appraise members of support staff. This will be someone with line management responsibilities, or with an understanding of their work.

### Setting objectives

- 4.4 Objectives for each member of support staff will be set before or as soon as practicable after, the start of each appraisal period. The objectives set for each member of support staff, in normal circumstances this will be 3 objectives, will be Specific, Measurable, Achievable, Realistic and Time-bound (SMART) and will be appropriate to their role and level of experience. The objectives will be fair and reasonable and the appraiser and appraisee will seek to agree the objectives but, if that is not possible, the appraiser will determine the objectives. Objectives may be revised if circumstances change during the appraisal cycle.
- 4.5 The objectives set for each member of support staff will, if achieved, contribute to the academy's plans for improving the educational provision and performance and improving the education of pupils at that academy. The Principal of the academy together with the senior leadership team will be responsible for quality assuring the objectives against the academy's improvement plan.

### Reviewing performance

#### Development and support

- 4.6 The academy encourages a culture in which all support staff take responsibility for improving their work and extending their depth of knowledge through appropriate training and professional development. In addition our appraisal process is used to inform and decide continuing professional development which improves performance. Agreed training and professional development will be linked to academy improvement priorities and where possible to the ongoing development needs and priorities of individual support staff members. At this academy, we are committed to supporting appropriate and reasonable

development which not only assists the employee in their work but also leads to improvements in performance across the academy.

## Feedback

- 4.7 Within this academy, support staff will receive constructive feedback on their performance throughout the year. 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. Feedback will also be sought from other employees within the academy who are supported by the appraisee for example a teacher may be asked to provide feedback on a teaching assistant who works with them. The process will be as supportive as possible and where there are concerns about any aspects of the employee performance the appraiser will meet the employee to:
- give clear feedback to the employee about the nature and seriousness of the concerns;
  - give the employee the opportunity to comment and discuss the concerns;
  - find out if there are any issues (including issues outside work) that are affecting the employee's performance that the appraiser can assist with or provide support;
  - make clear what improvements need to be made by the employee and how this can be achieved;
  - agree any support (for example coaching, mentoring, training), that will be provided to help address those specific concerns;
  - make clear how, and by when, the appraiser will review progress either by setting new and clear objectives which will be assessed during the informal 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;
  - explain the implications and process if no – or insufficient – improvement is made during the informal review period ie the application of the capability procedure.
- 4.8 This meeting can happen at any time during the appraisal period and does not have to wait until the annual assessment. It is a supportive meeting, and designed to address issues early to avoid the matter escalating, giving the employee every opportunity to improve. At the meeting, the appraiser will be required to 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, but if requested will be considered on a case by case basis.
- 4.9 Although this is part of the 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 and what improvements (including the review timetable) need to be made. The length of the review timetable will be determined by the appraiser based on the individual circumstances of the situation. During the informal review period, regular meetings should take place to ensure progress is being made.
- 4.10 At the end of the 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. If insufficient improvement is being made including only partial meeting of targets, then the process set out below (from section 4.16) should be followed. It will be for the appraiser to decide which procedure will be followed.

## Annual assessment

- 4.11 Each member of support staff will have their performance formally assessed in respect of each appraisal period.
- 4.12 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 process. To ensure further support for support staff, an interim appraisal meeting may take place at the mid-point of the cycle (February). At this meeting, performance will be reviewed and progress towards objectives will be noted. Any concerns will be noted and an appropriate support plan will be put in place for the remainder of the cycle. The support plan will set out what improvement is required including training and what other support will be needed.
- 4.13 The employee 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. In this academy, support staff will receive their written appraisal reports within 10 working days of the appraisal. The appraisal report will be a summary of the performance during the year and set out the employee’s development needs for the next year. In particular the report will include:
- details of the personal objectives for the appraisal period in question;
  - an assessment of performance against objectives
  - an assessment of the support staff training and development needs and identification of any action that should be taken to address them.
- 4.14 The assessment of performance and of training and development needs from each individual appraisal will inform the planning process for the following appraisal period for the whole academy.

## Monitoring & Evaluation

- 4.15 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 the interim (if applicable) and annual review meetings. The appraiser will then record the discussion on this evidence and make an assessment in the appraisal report.

## **Transition to Capability**

- 4.16 Performance management is an ongoing process. If the appraiser is not satisfied with progress, despite the support provided, 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 at which they will have the right to be accompanied.

## 5 General Principles Underlying This policy

### **Confidentiality**

The appraisal process will be treated confidentially. However, the desire for confidentiality does not override the need for the Principal and Local Governing Body to quality-assure the operation and effectiveness of the appraisal system. In this academy the 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. All records will be kept no longer than is necessary in accordance with the Data Protection Act.

### **Consistency of Treatment and Fairness**

The Trust and the Local Governing Body 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 teachers. The Local Governing Body is aware of the guidance on the Equality Act issued by the Department for Education.

### **Delegation**

Normal rules apply in respect of the delegation of functions by Local Governing Bodies and Principals.

### **Monitoring and Evaluation**

The Local Governing Body and Principal will monitor the operation and effectiveness of the academy's appraisal arrangements and report to Academy Transformation Trust as required. In developing, applying and evaluating this policy we will monitor the impact on different groups of people with protected characteristics in line with the academy's Equal Opportunities Policy. This will ensure that what we do is done fairly.

### **Retention**

The Local Governing Body and Principal will ensure that all written appraisal records are retained in a secure place. It is the appraiser's responsibility to ensure HR has a copy of all relevant documents. All records will be and kept no longer than is necessary in accordance with the Data Protection Act 1998.

## Appendix 1 – Lesson Observation Protocol

We are committed to ensuring that classroom observation in this academy is both developmental and supportive and supports performance improvements. Those involved in the process will:

- Carry out the role with professionalism, integrity and courtesy
- Evaluate objectively
- Report accurately and fairly.

Observations including drop in's and learning walks should not be excessive (in normal circumstances up to three hours per year) but be reasonable and proportionate depending on the circumstances. Information gathered during the observation will be used, as appropriate for a variety of purposes including performance assessment. In addition the information will be used for academy self-evaluation and school improvement strategies.

The timing of observations will be notified in advance, normally scheduled at the first appraisal meeting, although other observations may be scheduled at other times. Classroom observations will only be undertaken by persons with QTS who have adequate training and the appropriate professional skills to undertake observation and to provide constructive oral and written feedback and support.

Oral feedback will be given as soon as possible after the observation and no later than the end of the following working day. It will be given during directed time in a suitable, private environment. Written feedback will be provided within five working days of the observation taking place.