



[Academy Name]

Appraisal Policy

Policy Type:	Trust Core Policy
Approved By:	DNEAT Board of Trustees
Approval Date:	13/02/2015
Date Adopted by LGB:	dd/mm/yyyy
Review Date:	February 2017
Person Responsible:	Academies Executive Officer

Summary of Changes

The model policy has been revised to reflect these changes to the statutory guidance as outlined below.

Page Ref.	Section	Amendment	Date of Change
10	Appendices	'work scrutiny or assessment' added to additional boxes in flowchart	05/06/2017

Roles and responsibilities

The Diocese of Norwich Education and Academies Trust is accountable for all policies across its Academies. All policies whether relating to an individual academy or the whole Trust will be written and implemented in line with our ethos and values as articulated in our prospectus. We are committed to the provision of high quality education in the context of the Christian values of service, thankfulness and humility where individuals are valued, aspirations are high, hope is nurtured and talents released.

A Scheme of Delegation for each academy sets out the responsibilities of the Local Governing Body and Principal / Head Teacher. The Principal / Head Teacher of each academy is responsible for the implementation of all policies of the Academy Trust.

All employees of the Academy Trust are subject to the Trust's policies.

Policy Statement

This policy sets out the framework for a clear and consistent assessment of the overall performance of all staff, including the Headteacher / Principal, and for supporting their development within the context of the academy's plan for improving educational provision and performance, and the standards expected of all staff.

The policy applies to all staff employed at the academy, except those on contracts of less than one term, those undergoing induction (*ie* NQTs) and those who are subject to capability procedures. (See Capability of Staff Policy)

Aims & Objectives

Appraisal in [Academy Name] will be a supportive and developmental process designed to ensure that all staff have the skills and support they need to carry out their role effectively. It will help to ensure that members of staff are able to continue to improve their professional practice, to develop as professionals and support them in achieving their career aspirations.

The appraisal period will run for twelve months from 1st September to 31st August.

Staff who are employed on a fixed term contract of less than one year 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

At [Academy Name] the task of appraising the Headteacher / Principal, including the setting of objectives, will be carried out by a representative of the Multi Academy Trust and two members of the Local Governing Body. The Headteacher / Principal will decide who will appraise other members of staff but this will normally be the line manager of that person. Where a staff member is of the opinion that the person to whom the Headteacher / Principal has delegated the appraiser's duties is unsuitable for professional reasons, they may submit a written request to the Headteacher / Principal for that appraiser to be replaced, stating those reasons. This will be considered but the decision of the Headteacher / Principal is thereafter final.

Appraisers will receive appropriate training for their role. This will include the importance of planning and preparation for the appraisal meeting.

Setting objectives

The headteacher's/ Principal's objectives will be set by the Trust in consultation with the Local Governing Body.

Objectives for each member of staff will be set before, or as soon as practicable after, the start of each appraisal period. The objectives set for each member of staff, will be Specific, Measurable, Achievable, Realistic and Time-bound and will be appropriate to their role, level of experience, pay progression criteria and working hours of the staff member. The appraiser and staff member 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.

Objectives will be moderated by the headteacher / Principal to ensure all appraisers are working to the same standards.

The objectives set for each member of staff will, if achieved, contribute to the academy's plans for improving the academy's educational provision and performance and improving the education of pupils at [Academy Name].

Before, or as soon as practicable after, the start of each appraisal period, each member of staff will be informed of the standards against which their performance in that appraisal period will be assessed. For teachers who are qualified teachers by virtue of holding QTS, it is for the governing body or head teacher to decide which standards are most appropriate. Such teachers may be assessed against the Teachers' Standards, against any other sets of standards issued by the Secretary of State, against any other professional standards relevant to their performance or any combination of those three.

Reviewing performance

Observation

[Academy Name] believes that observation of classroom practice and other responsibilities is important both as a way of assessing staffs' performance in order to identify any particular strengths and areas for development they may have and of gaining useful information which can inform academy improvement more generally. All observation will be carried out in a supportive fashion and as described in the Monitoring and Evaluation Policy.

At [Academy Name] staffs' performance will be regularly observed but the amount and type of classroom observation will depend on the individual circumstances of the member of staff and the overall needs of the academy. Classroom observation will be carried out by those with QTS. In addition to formal observation, the headteacher / Principal or other leaders with responsibility for standards may "drop in" in order to evaluate the standards of teaching/support 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. Evidence gathered from the scrutiny of pupils' work and also from pupil assessment data will also be used to inform any judgements about the quality of teaching over time.

Staff who have responsibilities outside the classroom should also expect to have their performance of those responsibilities observed and assessed.

Development and support

Appraisal is a supportive process which will be used to inform continuing professional development. [Academy Name] wishes to encourage a culture in which all staff take responsibility for improving their work through appropriate professional development. Professional development will be linked to academy improvement priorities and to the ongoing professional development needs and priorities of individual staff members.

Feedback

Members of staff will receive constructive feedback on their performance throughout the year and as soon as practicable after observations have taken place or other evidence has come to light. Feedback will highlight particular areas of strength as well as any areas that need attention. If appropriate, objectives may be revised due to substantial changes during the appraisal cycle.

Where there are concerns about any aspects of a member of staff's performance the appraiser will meet with them formally to:

- give clear feedback to the member of staff about the nature and seriousness of the concerns;
- give the member of staff the opportunity to comment and discuss the concerns;
- agree any support (eg coaching, mentoring, structured observations), that will be provided to help address those specific concerns (see Appendix A - Support Plan);
- make clear how, and by when, the appraiser will review progress ;
- explain the implications and process if no – or insufficient – improvement is made (see Appendix B – flow chart).

When progress is reviewed, if the appraiser is satisfied that the member of staff 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.

Transition to capability

If despite working through the written support plan referred to in Appendix B, the appraiser is not satisfied with progress, the member of staff 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 Capability of Staff Policy). The appraiser will consider engaging their HR provider for advice at this point and the member of staff may wish to seek advice from their Trade Union.

In serious cases of gross negligence it may be necessary to move straight to the formal capability procedure.

Appeals

Employees have a right of appeal against entries in their appraisal report, although they are encouraged to discuss and seek resolution with their appraiser in the first instance. Where resolution is not possible at an informal level and an appraisee appeals in writing to the Headteacher / Principal (or in the case of a Headteacher / Principal the Local Governing Body) they will set up a committee (Performance Management Appeals Committee) to consider the appeal.

The members of this Committee should not have participated in the appraisal process in the current round. The Chair of the Appraisal Appeals Committee must inform the member of staff of the outcome of the appeal and should also notify the Local Governing Body.

A member of staff may make an appeal against any determination or proposed determination in relation to their performance management. The possible grounds for appeal are that the person or committee by whom the decision was made:

- incorrectly applied any provision of the Teacher Appraisal Regulations;
- failed to have proper regard for the relevant statutory guidance;
- failed to take proper account of any relevant evidence;
- took account of irrelevant or inaccurate evidence;
- failed to apply the school's own performance management policy;
- was biased; or
- otherwise unlawfully discriminated against the teacher.

Annual assessment

Each member of staff's performance will be formally assessed in respect of each appraisal period. In assessing the performance of the headteacher / Principal, the Trust will consult with the Local Governing Body.

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 once a term..

The member of staff will receive a written appraisal report as soon as practicable (ideally within ten working days) following the end of each appraisal period – and have the opportunity to comment in writing on this for further consideration by the appraiser. At **[Academy Name]**, teaching and support staff will receive their written appraisal reports by 31 October (31 December for the headteacher/ Principal).

The appraisal report will include:

- details of the member of staff's objectives for the appraisal period in question;
- an assessment of their performance of their role and responsibilities against their objectives and the relevant standards;
- an assessment of their professional development needs and identification of any action that should be taken to address them;
- a recommendation on pay where that is relevant

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

Roles & Responsibilities

Headteacher / Principal:

- assign an appraiser to each member of staff, ensuring staff who start mid cycle are brought into the cycle within one term.
- provide training and support to all appraisers to ensure a consistent approach to Appraisal.
- report to Governors annually on the implementation and impact of the policy.

CPD Leader/Deputy Headteacher (where applicable):

- take note of whole staff and individual CPD needs arising from the Appraisal cycle and build in to the INSET plans for the academy.

Teachers and support staff:

- ensure they actively participate in the Appraisal cycle.
- take responsibility for their continued professional development.
- discuss any barriers to progress with their appraiser.

Equality & Inclusion

All staff are included in the Appraisal cycle and have equal access to support and development of themselves and their role. The school expects employees to adhere to this policy in line with the school's obligations under equality legislation. Headteachers / Principals must ensure that all reasonable adjustments or supportive measures are considered to allow equality of access and opportunity regardless of age, gender, ethnicity, sexual orientation, disability, faith or religion, gender identity, pregnancy or marital status.

Training

The headteacher / **Principal** will ensure all appraisers receive appropriate support and training. All senior leaders and subject leaders undertaking lesson observations will also receive training.

Confidentiality

The whole appraisal process and reports generated as part of it will be treated in the strictest confidence at all times. Only the employee, appraiser and appraiser's line manager/s will be provided with access to the appraisal documents. In addition, the Headteacher / Principal (and for the Headteacher / Principal, Governors) will have access to quality assure the process and effectiveness of the appraisal system and for pay progression considerations.

Where teachers or Headteachers / Principals move schools, during or at the end of the appraisal cycle, they can request that their appraisal report is sent to their next school to enable continuity in the appraisal process and any pay eligibility progression.

Retention of appraisal reports

Appraisal reports should be retained in a safe and secure manner for a period of 6 years and should then be destroyed via confidential means.

Monitoring

The Governors will monitor the implementation and effectiveness of the policy through annual reports made by the headteacher / Principal and include this in their annual report to the Trust Board in the summer term.

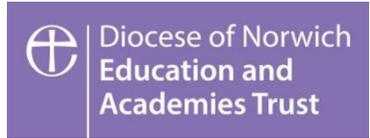
Review

The policy will be reviewed every two years or in response to changes in legislation at which point consultation will take place with the recognised union representatives

Links to Other Policies

- Monitoring & Evaluation Policy
- Staff Pay Policy
- Capability of Staff Policy
- Continued Professional Development Policy
- Equality Policy
- Staff Grievance Procedure

APPENDIX A



Suggested Support Plan format

Name:		Manager/mentor	
Employment details		Role:	Employment start date:
Meeting date:		Plan starts:	Plan agreed:

Target	Support	Success criteria	Review date	Comments

Meeting notes:

Present:

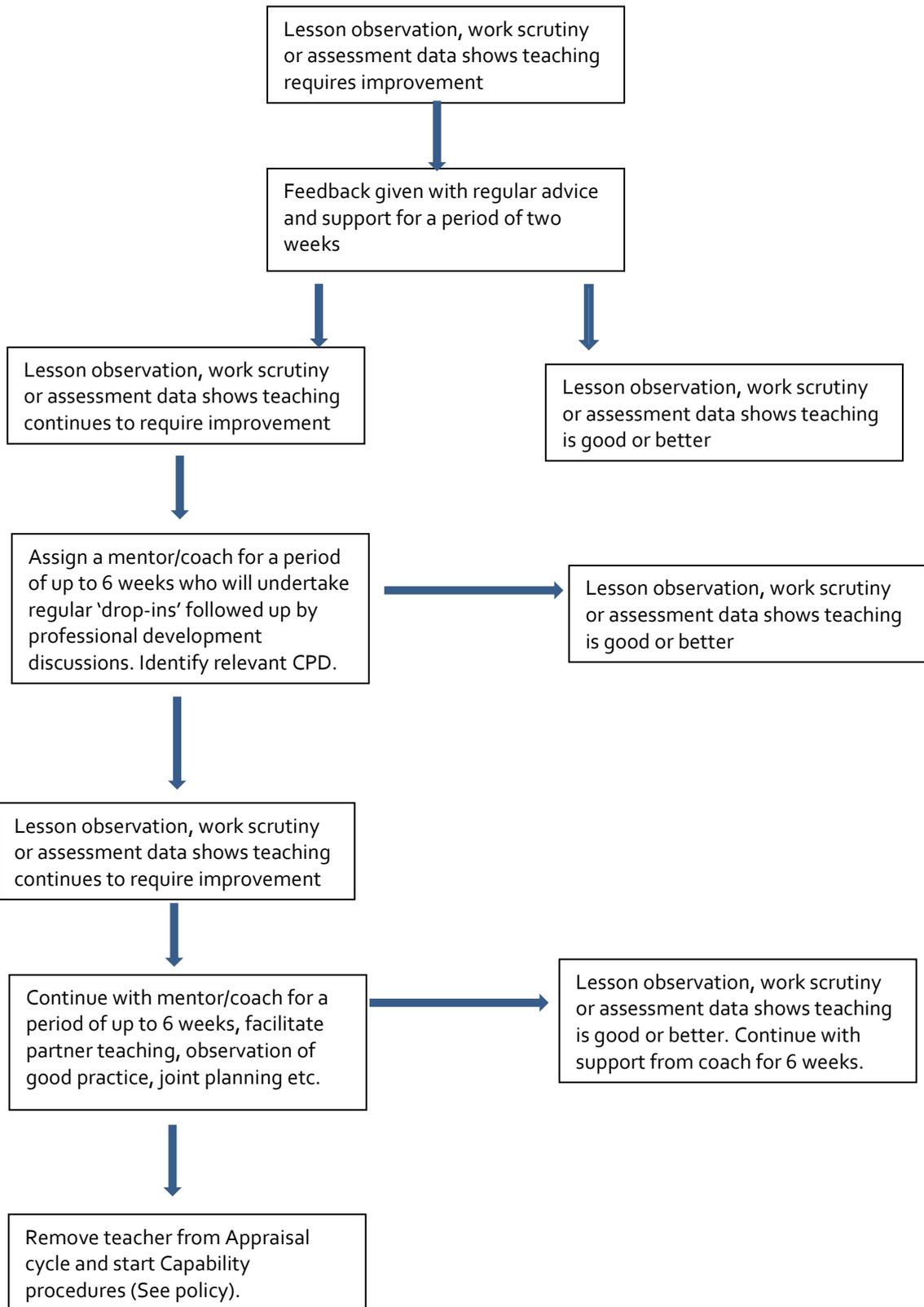
Issues:

A Support Plan was suggested by.

Agreed as a true record:

Date:

Protocol for improving the quality of teaching*



*Not applicable in cases of gross negligence that will be addressed via the formal capability procedure