

Appraisal Policy

Adoption Arrangements

All statutory policies in the Trust are ultimately the responsibility of the Trust Board. To enable it to discharge this responsibility appropriately and in collaboration with the constituent schools, the Trust Board will

1. set a full Trust wide policy,
2. set a 'policy principles' document (a framework within which Headteachers develop a full and appropriately customised policy),
3. or delegate to Headteachers or LGBs the power to develop their own policy.

Approval Body:	Chief Executive Officer
Adopted:	November 2017
Leadership Grp Responsibility:	HR Director
Review period:	3 years
Date of next review:	October 2020

This is a Level 1 Policy against the Trust Governance Plan.

This procedure was adopted by the Trust Board, for implementation in Tenax Schools Trust on the date above and supercedes any previous policy or policies on the management of Appraisal.

1 Introduction – purpose of the policy

At Tenax Schools Trust we are committed to continually improve the quality of teaching and learning for all our pupils and we believe that appraisal will assist our staff to achieve this aim through clarity of role and expectations, encouragement, development and feedback.

We believe that appraisal will enable a professional discussion to take place regarding workload and priorities and will give staff the appropriate focus, development and support. It will also provide staff with an opportunity to discuss in confidence any matters regarding their employment at work that may inhibit their performance.

This policy sets out the principles and framework for a clear and consistent appraisal of the overall performance of all staff and for supporting their development needs within the context of the school plan for improvement and their own professional needs.

This policy also sets out the Trust's approach to the link between the appraisal process and pay progression.

2 Principles

We will implement our appraisal arrangements on the following principles:

- *Equality of Opportunity:* All staff should be encouraged and supported to achieve their potential through clarity of expectations and job role, regular feedback, performance review and provision of relevant development
- *Consistency of Treatment and Fairness:* We will take action to ensure our performance appraisal process is fair, non-discriminatory and that staff are treated consistently
- *High Standards:* We believe by setting appropriate and challenging standards of performance and providing suitable feedback and development all staff have the potential to continually improve their performance
- *Work – life balance:* All staff are entitled to a satisfactory work – life balance and performance appraisal is an appropriate mechanism to facilitate this
- *Pay and Rewards:* Pay progression for staff should reflect their overall contribution to the school both as individuals and as team members.

3 Application of the policy

This policy applies to all staff employed in this school with the exception of teachers undergoing their formal year of induction or on contracts of less than a year. The operation of this policy will be suspended for any staff whose performance merits the application of the schools' formal competency procedure.

Performance appraisal arrangements for temporary and part – time staff, including job-sharers, should apply on the same principles as for full-time, substantive staff. The same degree of challenge in the process

should apply but the breadth and volume of each element in the process should be proportionate to the period of time worked.

Teachers employed on a fixed term contract of less than one year, will have their performance managed in accordance with the principles underpinning the provisions of this policy. The length of the cycle will be determined by the duration of their contract.

The intention is that all staff will have equivalent access to appraisal, development and support.

4 Policy framework

4.1 General

Performance appraisal is a shared responsibility. The Board of Trustees has the strategic responsibility for establishing this policy, providing the Chief Executive Officer and Headteachers with the support to ensure it is fully implemented and ensuring the Headteachers receive appropriate performance appraisal in order to set the right framework and culture for all staff in the school.

The Headteachers will ensure that this policy, associated regulations and guidance are communicated effectively and that staff with performance appraisal responsibilities have access to appropriate training and preparation.

The performance of all staff must be reviewed on an annual basis. Appraisal planning and reviews must be for all teachers in this school and this will be completed by 31 October, in any one academic year and by 31 December for the Headteacher.

The appraisal reviews for all support staff will be completed annually in line with the academic year.

Where a member of staff starts their employment at the school part-way through a cycle, the length of the first performance appraisal process will be such that the cycle can be brought into line with the appraisal process for that group of staff at the earliest opportunity.

Where a member of staff transfers to a new post within the school part-way through a cycle, the Headteacher shall determine whether the cycle shall begin again and whether to change the appraiser.

All staff should have an up to date job description and this will form the basis for discussion at the appraisal planning and review meeting. Staff should have access to the school plan for improvement and other relevant planning documents in good time for their appraisal meeting.

Where it appears that the appraisee is either not meeting or partially meeting the relevant professional standards then the appraisal process must clearly set out the support and training that will be provided to address the areas of concern.

Where serious weaknesses are identified in an appraisee's performance then this procedure should cease and the issues will be managed within the school's formal capability procedure. The appraisal process will be re-commenced when the appraisee's performance has reached the required standards.

4.2 Appointing appraisers

The Headteacher will be appraised by the Chief Executive Officer or a suitably experienced and qualified person appointed by the Chief Executive Officer. The Chief Executive Officer and/or designate, will normally be assisted by the Chair of the Local Governing Board, or other local governor/s appointed by the Local Governing Board for that purpose.

The Headteacher will determine the appropriate appraiser for all other staff covered by this policy taking due consideration of line management responsibilities and other relevant factors.

If a member of staff has a concern regarding their allocated appraiser then this should be communicated to the Headteacher, in writing, stating the reasons. The Headteacher will exercise careful consideration of the concerns and may allocate an alternative Appraiser.

The Headteacher will ensure all appraisers receive appropriate training and preparation for their role.

4.3 The Appraisal meeting

It is the responsibility of the appraiser to arrange the meeting with their appraisee at the beginning of the performance management cycle. This should be arranged by mutual agreement and normally with at least five working days' notice. The appraiser must prepare for the meeting and ensure all relevant information and evidence that will be used during the meeting has been shared with the appraisee at the earliest possible opportunity.

The appraisal meeting should provide a two way discussion to:

- Assess performance during the previous year against the appraisee's role and responsibilities, including performance objectives and any relevant standards
- Agree expectations for the year ahead by reviewing job description and appropriate performance objectives
- Confirm timescales for achievement of the objectives and for provision of support, including development
- Ensure the appraisee understands the performance criteria, including relevant pay progression criteria, relevant professional standards and any other appropriate evidence to be taken into account in appraising performance including potential barriers to success
- Discuss and agree appropriate monitoring arrangements and other support for the appraisee, including classroom observations, if appropriate to the reviewee's role

- Agree any areas of relevant training and development and related actions
- Allow the appraisee to raise any issues or concerns regarding their workload or work - life balance and potential barriers to success.

It is the appraisee's responsibility to play an active role in their review. This includes preparing for the meeting by:

- Reflecting on their performance over the past year including their performance against the relevant professional standards or, for support staff, their role description.
- Considering how they have made a wider contribution to the school, and
- Identifying some of their future development needs.

Self-review is an important means of preparing for an appraisal meeting and a suggested framework for this is set out in Appendix 1.

4.4 Appraising performance

All staff, including the Headteacher, will be formally assessed in respect of each appraisal period.

Each member of staff will receive a written appraisal report as soon as practicable and within ten working days following the appraisal meeting and have the opportunity to comment in writing. The appraisal report will include:

- Details of objectives for the appraisal period in question
- An assessment of performance of role and responsibilities against objectives and any relevant professional standards. This includes the Teacher Standards for all teaching staff. Assessment against the Teachers' Standards will start from the premise that all teachers are meeting the Teachers' Standards and they will be assessed as meeting the standards unless clear, compelling written evidence to the contrary is provided
- An assessment of training and development needs and identification of any action that should be taken to address them
- A recommendation on pay may follow, where this is relevant, subject to wider moderation.

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

4.5 Performance concerns

Should concerns about an individual's performance arise during the performance management cycle, or during the appraisal meeting, every effort will be made to resolve these informally.

The individual will be asked to attend a meeting with their appraiser, or where appropriate a more senior manager. Although this is an informal meeting, requests to be accompanied by a workplace colleague or trade union representative will not be refused, unless making such arrangements would incur a delay in excess of 5 working days.

During this meeting, the following will be discussed:

- The nature of, and evidence of, the performance concern/s
- The performance standards required
- A performance improvement plan

The individual will have the opportunity to discuss any factors that are affecting their ability to meet the performance standards required.

Following this meeting, the individual will be provided with a written Performance Improvement Plan, detailing the nature of the concern/s, the individual's objectives, timescales for improvement, and support and monitoring arrangements that have been agreed.

Targets set within this discussion should be proportionate in number, reasonable in expectations, with clear success criteria and a focus on development. Where a significant gap in performance is identified, a succession of incremental objectives may be agreed.

If, after a period of structured, informal support, performance has not met the Trust's expectations, the appraisal cycle will be suspended and the formal Capability Policy will apply. Where significant progress has been made, or it has not been possible to provide all the support measures agreed, a short extension to this informal review period may be agreed.

Advice will be sought from the school/Trust's Human Resources provider before moving from the Appraisal/Performance Management Process into the formal Capability Procedure.

4.6 Exceptional circumstances

Where the individual discloses a health or personal circumstance is impairing their ability to meet their objectives, or contributing to poor performance, advice on such a condition and relevant support may be sought from the Trust's Occupational Health provider, or from Human Resources.

Where a physical or mental health disability is disclosed, the manager will consider any reasonable adjustments to equipment, facilities or personal arrangements that may be requested. Advice may be taken from the individual's medical practitioner, the Trust's Occupational Health Provider or Human Resources.

Where the performance concern is as a result of refusal to meet the school/Trust's expectations, this will be managed under the Trust's Disciplinary Procedure.

4.5 Links with Pay

Before, or as soon as practicable after the start of each appraisal period, all staff will be informed of the standards and criteria against which individual performance in that appraisal will be assessed and on which pay decisions will be based.

Where the evidence from the appraisal process appears to suggest the appraisee's performance could be below that meriting pay progression at the end of the cycle, the appraisee should be made aware of this at the earliest opportunity. There should also be a professional discussion to identify actions which could remedy the position. This may include informal performance management targets being set as detailed above.

Staff who do not achieve the targets set should not normally expect pay progression. However, where challenging and aspirational targets have been set, and significant progress has been made towards them, the decision regarding progression will be subject to moderation by members from the Executive Group.

4.6 Objectives

In addition to the expectation that staff will discharge the duties in their job description, or, for teachers, meet, at all times, the requirements set out in the Teachers' Standards, objectives will be set in each appraisal cycle.

The Headteacher's objectives will be set by the Chief Executive Officer and/or designate, in consultation with the Chair of the Local Governing Board, or other local governor/s appointed by the Local Governing Board for that purpose.

All appraisees must have performance objectives set before, or as soon as practicable after, the start of each appraisal period. All objectives must be relevant to the appraisee's role, responsibilities and take full account of their experience and career/professional aspirations. The number and nature of objectives must be reasonable and, if achieved will contribute positively to the education of pupils at the school and the implementation of any plan designed to improve the school's educational provision and performance.

Normally an appraisee would expect to have 3 objectives (one linked to pupil outcomes, one relating to the quality of teaching and one professional development objective). Staff with a wider role across the school, including teachers with or without a TLR, members of the leadership team and the headteacher, would normally expect to have an additional objective in the relevant area. This additional objective facilitates discussion about the delivery of the additional responsibilities, but should not form part of decisions regarding pay progression. Concerns about the delivery of this fourth objective will be managed as a performance concern as detailed in section 4.5.

Appraisees should be encouraged to set challenging but achievable objectives using the term SMART (specific, measureable, achievable but challenging, relevant and time-framed). Meeting or nearly meeting challenging objectives will be viewed positively by performance managers and will also assist career development.

As far as possible the objectives should be reached by agreement. However where a joint determination cannot be made the appraiser will make the determination with the provision for the appraisee to record any disagreement if required.

Consideration should be given to ensure that the appraisal objectives can be used to secure good evidence for pay progression in line with the expectations in the school's pay policy

4.7 Training and Development

Performance appraisal is a developmental process and a key part of the planning discussion. It should be about the support that the Appraisee will need in order to meet identified objectives and performance criteria.

Tenax Schools Trust is committed to ensuring that all staff have access to a level of development appropriate to their role, stage of career development, performance objectives and criteria and individual aspirations.

Development and training identified from the appraisal process must be recorded using the appropriate form and then passed to the Training and Development Coordinator for the Academy to inform the school's programme for training and development.

The Trust recognises that development and support may take a number of forms and a wide range of activities which may not necessarily involve a formal course.

4.8 Monitoring

The appraiser will ensure that appropriate arrangements are in place to support the appraisee with regular monitoring and feedback. This should be discussed in broad, flexible terms in the appraisal meeting. There should be at least one formal mid year review meeting to discuss performance, provide feedback and discuss the provision of training and development.

The line-managers should audit mid-year reviews with appraisers to ensure consistency of appraisal assessments.

There should be further, informal follow-up and support for appraisees.

The Trust believes that observation of classroom practice and other responsibilities is important both as a way of assessing performance in order to identify any particular strengths and areas for development and of gaining useful information which can inform school improvement more generally. All observations will be carried out in a supportive fashion. Please see appendix 3.

At Tenax Schools Trust, teachers' performance will be regularly observed but the amount and type of observation will depend on the individual circumstances of the teacher and the overall needs of the school. Formal classroom observation will only be carried out by those with QTS.

In addition to formal observation, the Headteacher or other members of the SLT with responsibility for Teaching and Learning may "drop in" in order to enhance the standards of teaching and learning 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.

4.9 Recording Plans

Within five working days of the meeting the appraiser will complete a draft statement and provide the appraisee with a copy. The appraisee may request changes if he/she feels the statement does not convey a fair summary of the meeting and/or may add comments. The appraiser will prepare and sign a final statement within ten working days of the initial meeting.

The appraiser may retain a copy of the appraisal plan, but he/she must pass a copy to the appraisee and pass the original to the Headteacher or, where appropriate, the CEO.

5 Moderation

The Headteacher is responsible for ensuring that performance appraisal is applied fairly and consistently within each individual school and that there is a strong link with school improvement. The Headteacher may therefore make appropriate arrangements for the moderation of performance appraisal reviews and objectives in particular to ensure consistency of approach and expectations between appraisers. However, this exercise will be undertaken with due regard for the need to maintain confidentiality. The Executive Group is responsible for appraisal moderation within the Trust.

6 Changes to plans mid-cycle

There may be occasions when it is necessary to amend or change the content of the appraisal plan. This may include changes in the appraisee's circumstances, school priorities or local/national policy initiatives. In this event the appraiser and appraisee should discuss and ideally agree the necessary changes.

If there is no agreement to the proposed changes then the appraiser shall amend the appraisal plan with any changes he/she thinks ought to be made and pass the revised statement to the appraisee who may add his/her comments.

7 Confidentiality and Retention of Records

The performance appraisal process will be treated with full confidentiality at all times.

For the Headteacher's review the statement will be held by the CEO or designate, Chair of Governors, the Chair of the Review Committee (if not the Chair of Governors) and the Headteacher.

All plans and appraisal reports must be retained in a secure place on the school premises for a period of six years from the date the appraisal cycle ends. After this date it would be normal to dispose of these records and this must be done confidentially and the employee notified.

8 Communication of this Policy

A copy of this policy will be kept on the website to ensure that all staff can have access to a copy of it as needed. All new staff joining the school will be briefed on the policy as part of their induction into the school.

9 Monitoring and Evaluation

The Trust and the Headteacher will monitor the operation and outcomes of the performance appraisal arrangements.

Appendix 1:



Support Staff Appraisal

Name:

Date:

Line Manager:

PLANNING & REVIEW STATEMENT

SECTION 1 - KEY SCHOOL IMPROVEMENT TARGETS	
<ul style="list-style-type: none">• To develop support staff team in their role as leaders of learning• Raise expectation and challenge for the more able pupils• Create greater opportunities for pupils to take initiative and extend their learning (higher order thinking and questioning skills)• Develop pupils' personal responsibility and independence by enabling them to assess and manage risk appropriately and keep themselves safe	<ul style="list-style-type: none">•

SECTION 2	POSSIBLE AREAS OF PROFESSIONAL DEVELOPMENT ACTIVITY
CLASSROOM & INTERVENTION PRACTICE	
MIDDAY SUPERVISION	
CAREER DEVELOPMENT	

OBJECTIVE SETTING & SUPPORT RECORD SHEET

SECTION 3	
OBJECTIVE	

AGREED EVENT (Reviewee Responsibility)	BY (DATE) TBC	RECORD OF EVENTS
AGREED SUPPORT (Reviewer Responsibility)		RECORD OF EVENTS
IMPACT MEASURES (inc. lesson observation details)		RECORD OF EVENTS

OBSERVATION SCHEDULE (or other agreed activity)

SECTION 4			
APPROX DATE	OBSERVER'S NAME	OBSERVATION FOCUS	LENGTH (MINS)
Term			
Term			

Term			
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SCHEDULE OF EVIDENCE TO BE USED BY REVIEWER IN JUDGING PERFORMANCE
(COPIES OF ALL EVIDENCE LISTED WILL ALSO BE MADE AVAILABLE TO THE REVIEWEE)

SECTION 5	
EVIDENCE TO BE USED FOR ALL STAFF <ul style="list-style-type: none"> • Records of lesson observations listed above • Record of progress with agreed performance objectives • Pupil progress data • Monitoring of pupils' work • Monitoring of observation notes/Provision Map • Observation of Midday Supervision 	ADDITIONAL PERSONAL EVIDENCE (PLEASE LIST) <ul style="list-style-type: none"> • • • • •

SECTION 6	REVIEW STATEMENT
<p>In this section, the reviewer considers evidence derived from the performance objective record set out in Section 3, the lesson observations listed in Section 4 and the other evidence sources recorded in Section 5</p>	

Recommendation on performance pay progression (if applicable)



Appendix 2: Planning & Review Proforma
Employee:

Appraisal for (date)
Responsibility:

PLANNING & REVIEW STATEMENT

SECTION 1		KEY SCHOOL IMPROVEMENT TARGETS
From School Improvement Plan	<p>Target 1 Pupil Outcomes:</p> <p>Target 2 Quality of Teaching/Learning:</p> <p>Target 3 Leadership Development:</p>	[Insert relevant teacher standards/post threshold standards as appropriate]

SECTION 2	POSSIBLE AREAS OF SUPPORT AND PROFESSIONAL DEVELOPMENT ACTIVITY
CLASSROOM PRACTICE	
LEADERSHIP AND MANAGEMENT	

CAREER DEVELOPMENT



OBJECTIVE SETTING & SUPPORT RECORD SHEET

SECTION 3 Evidence Base Showcasing Successful Actions to Meet Objectives		
[Insert objectives from section 1]		
AGREED EVENT (Appraisee Responsibility) <ul style="list-style-type: none"> • Pupil tracking • Coaching re: core skills, approaches, planning etc • Attendance at KS meetings re: scaffolding skills, interpreting data, evaluation, monitoring, moderating, feedback (focussed KS meetings in order to improve teaching and learning focussing on agreed objectives.) • Attendance at KS2 marking workshops/team marking • Discussions with pupils re: understanding and implementing skills for level criteria • Team teaching/lesson observations for areas to develop identified via monitoring procedures • Attend relevant LA/DCSF and In-House training • Monitor/evaluate review 	BY (DATE)	RECORD OF EVENTS
AGREED SUPPORT (Appraiser Responsibility) <ul style="list-style-type: none"> • Coaching & KS meetings • Support with developmental marking linked to APPs • Termly reviews 		RECORD OF EVENTS
IMPACT MEASURES (inc. lesson observation details) <ul style="list-style-type: none"> • Key Stage meeting attendance and participation (with focus) • Monitoring of planning and marking and book trawls • Appraiser report of discussions with pupils • Pupil Progress Meetings • Attainment Data 		RECORD OF EVENTS

OBSERVATION SCHEDULE

SECTION 4			
APPROX DATE	OBSERVER'S NAME	OBSERVATION FOCUS	LENGTH (MINS)

SCHEDULE OF EVIDENCE TO BE USED BY APPRAISER IN JUDGING PERFORMANCE
(COPIES OF ALL EVIDENCE LISTED WILL ALSO BE MADE AVAILABLE TO THE APPRAISEE)

SECTION 5

EVIDENCE TO BE USED FOR ALL STAFF	ADDITIONAL PERSONAL EVIDENCE (PLEASE LIST)
<ul style="list-style-type: none"> • Records of lesson observations listed above • Record of progress with agreed performance objectives • Pupil progress data • Monitoring of planning • Monitoring of pupils' work • Monitoring of learning environment 	<ul style="list-style-type: none"> • • • • •

SECTION 6	REVIEW STATEMENT [appraisers should populate this section with interim review commentary and then supplement or build to complete at end of year]
<p>In this section, the appraiser considers evidence derived from the performance objective record set out in Section 3, the lesson observations listed in Section 4 and the other evidence sources recorded in Section 5</p>	
<p>% Staff Attendance (commentary to cover long periods of absence, eg.</p>	

Sickness, paternity, maternity, adoption)	
Recommendation on performance pay progression (if applicable)	

APPENDIX 3:

Protocol for Lesson Observation

Purpose

The primary purpose of lesson observation is to assist teaching and learning staff to develop their practice through reliable observation and prompt, constructive feedback specific to each lesson, thereby positively impacting on pupil progress and/or achievement.

In addition formal lesson observation records can be used to evidence the quality of teaching and learning staff for either Appraisal or pay progression decisions. Therefore lesson observation may provide evidence of progress towards objectives or inform an assessment of the overall performance of a appraisee.

Lesson observations should, as far as possible be multi-purpose and therefore information from an observation may also be used as part of the school's quality assurance programme, school self evaluation (SEF) in addition to Appraisal.

All lesson observations should be reasonable, appropriate and fit for purpose.

Scope

This protocol will be applied in any circumstances where a learning activity delivered by a member of the school staff for is being observed. The protocol applies to any observed learning activity irrespective of the length of time the observation takes.

The Protocol

1. Staff undertaking lesson observation must have received appropriate and ongoing training, development and support to ensure consistency and high standards of observation and feedback. Observation of a teacher may only be undertaken by a qualified teacher.
2. The intended arrangements for classroom observation should be discussed with the individual staff member at the beginning of the Appraisal cycle and recorded in the planning and review statement.
3. Teachers' performance will be regularly observed but the amount and type of classroom observation will depend on the individual teacher's circumstances and the overall needs of the school.
4. Lesson observations used for Appraisal will be conducted within the context of planning and review statement. Staff will be notified or reminded of the observer's visit at least one week in advance of the date and time of the visit. The observer will consult with the member of staff regarding the rationale and focus of the observation, the activities to be observed and the duration of the observation with the aim of mutual agreement.
5. The Headteacher or nominated member of the Senior Leadership Team may additionally drop into a lesson to monitor the quality of teaching and learning. However, the principles and intentions of this protocol must be maintained. The Headteacher may consider the observations agreed for Appraisal are sufficient so that additional 'drop ins' are not needed.
6. The member of staff observed will provide relevant planning documents as agreed when the observation was arranged.

7. The member of staff may introduce the observer to the students and give the purpose of the visit as agreed with the observer. The observer will not normally participate in the session but should take opportunities to talk to students as appropriate to establish evidence of effective learning and attainment.
8. The observer will ensure that appropriate notes are taken, including observations of student responses to teaching and that evidence of learning and attainment is recorded.
9. The observer will provide the member of staff with brief feedback immediately after the end of the activity or lesson.
10. The observer will meet the member of staff within one working day of the activity/lesson to discuss the observations. This will be within directed time and where necessary release time will be provided. Neither PPA nor break time will be used for this purpose.
11. The discussion is a two-way meeting. The focus for the discussion should be a factual description of observations and not opinion; sharing of ideas and suggested alternatives; the member of staff's learning needs; positive practice as well as areas for development. The observer should conclude the feedback meeting with a summary of the discussion, an agreed number of action points and a commitment to provide any necessary formal development.
12. The observer must complete a record of the observation feedback as soon as possible after the activity and no later than five working days and ensure the member of staff receives a copy of this with the opportunity to append any comments.
13. Line managers and performance appraisers, if not the appraisee's line manager, must be provided with relevant information promptly from any observations undertaken by other individuals.
14. The observer should ensure that the school's CPD co-ordinator is informed of any agreed formal development.
15. If concerns arise about the member of staff's performance in a teaching and learning activity then the amount and the focus of subsequent observation should be reviewed jointly at a revision