

APPRAISAL POLICY

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Next Review Due: June 2024

Introduction

The BDAT Trust board adopted this policy and procedure on 22nd July 2021 after consultations with the recognised trade unions.

Appraisal in the Trust 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 staff are able to continue to improve their professional practice and to develop in their professional roles.

This policy has been developed to comply with current legislation including the Education School Teachers' Appraisal (England) Regulations 2012 (The Appraisal Regulations).

This policy has been provided as a Trust level resource for BDAT and does not form part of an employee's terms and conditions of employment.

Purpose

This policy sets 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 Trusts / Academy's plan for improving educational provision and performance, and the standards expected of each employee. In the case of support staff, these members of staff will be assessed against the relevant job requirement for their post in the academy and the context in which they work. It also sets out the arrangements that will apply when staff are experiencing difficulties in meeting the standards that are expected of them. The appraisal procedure will also be used to address any concerns that are raised about a member of staff's performance. If concerns are such that they cannot be resolved through the appraisal process, there will be consideration of whether to commence the capability procedure.

Where teachers are eligible for pay progression, the assessment of performance throughout the cycle, against the performance criteria specified in the appraisal statement, will be the basis on which the recommendation is made by the appraiser.

Application of the Policy

This policy applies to all employees of the Trust, including teachers and support staff except those on contracts of less than one term, those undergoing induction (*i.e.*, *NQTs*) and those who are subject to capability procedures.

The Appraisal Period

The appraisal period for all staff will run for twelve months completing no later than 31st October each year.

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.

Where a member of staff starts their employment at an Academy part-way through a cycle, the (Executive Headteacher/Principal/Headteacher) or, in the case where the employee is the (Executive Headteacher/Principal/Headteacher) the Academy Trust, will determine the length of the first cycle for that member of staff, with a view to bringing his/her cycle into line with the cycle for other members of staff as soon as possible. The appropriate manager will inform the staff member of the arrangement where this applies.

Appointing (Appraisers / Performance Managers)

The role of the Appraiser will involve the managing of all aspects of the Appraisal Cycle for the members of staff for which they are responsible. The Appraiser may be varied in the reasonable discretion of the Trust. The Trust has delegated the following powers to the levels of staff described in Appendix 1

Role	Appraiser
Executive Headteacher	Chair of the Local Governing Body, the CEO and the director of the relevant phase.
Principal / Headteacher	Chair of the Local Governing Body, and the director of the relevant phase or a member of the BDAT Education Team.
Teacher	Appraisers of teachers, other than those appraising Headteachers, will be teachers who have qualified teacher status, they will be suitably trained and, preferably, will have current or recent teaching experience. The Principal / Headteacher will appraise members of the Academy's Leadership Team.
All other staff	The (Executive Headteacher/Principal/Headteacher) will decide who will appraise other members of staff.
CEO	Chair and Vice Chair of the Trust
Executive Team	A Trustee and the CEO.
All other staff	Employees will be notified of who their Appraiser will be if it is not their Line Manager, before or soon as practicable after the start of each appraisal period.

Setting Objectives

Objectives will be appropriate to the staff members role and level of experience. They will be set by agreement where possible (and if not, they will be set by the Trust following consultation) and will be SMART (specific, manageable, achievable, realistic and time-bound). They will be clearly related to the improvement plans of the Trust and the Academy.

Five headline objectives will be implemented across the Trust from September each year.

1. Leadership and management OR teaching / development target (if the teacher has no post holder responsibilities, for support staff this would be a development target)
2. Raising standards and student progress
3. Collaborative working across the Trust.
4. Other (to include Academy specific areas and areas including behaviour, attendance, Christian and community ethos, buildings etc.)
5. A personal development objective (linked to CPD and staff development plan).

The appraiser and the member of staff 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. Should the objectives not be agreed, the final decision on allocation of objectives rests with the Appraiser.

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 students at that academy / Trust. This will be ensured by quality assuring all objectives against the academy / Trust's improvement plan.

Before, or as soon as practicable after, the start of each appraisal period, each staff member will be informed of the standards against which performance in that appraisal period will be assessed. Teachers and support staff will be assessed against the appropriate set of standards. Links to these can be found in Appendix one.

Reviewing Performance

Performance will be reviewed on an on-going basis, evaluating information from a range of sources and not just the appraisal meetings.

Teacher Observation

BDAT believes that formal observation of classroom practice, work scrutiny and other associated responsibilities are important both as a way of assessing teachers' performance in order to identify any particular strengths and areas for development they may have and of gaining useful information which can inform school improvement more generally. All observations will be carried out in a supportive fashion and teachers will also be observed regularly, these will be completed by trained observers; any feedback will be communicated as soon as possible.

In addition to observation and work scrutiny, the (Executive Headteacher/Principal/Headteacher) or other leaders acting on behalf of the Headteacher/Principal, with responsibility for teaching standards may "drop in" in order to evaluate the standards of teaching and to check that high standards of professional performance are established and maintained. The length and frequency of "drop in" observations will vary depending on specific circumstances (*for example learning walks focusing on literacy, numeracy, more able students*).

Teachers who have responsibilities outside the classroom (such as planning, marking and post holder responsibilities) should also expect to have their performance of those responsibilities observed and assessed.

Support Staff

Performance management will be a continuous cycle throughout the year involving three stages of planning, monitoring performance, and reviewing performance. The arrangements for reviewing performance against the objectives will be decided during the planning meeting. The appraiser and appraisee will keep progress under review throughout the cycle including the use of informal discussion as well as the more formal arrangements specified in the planning meeting.

Development and Support

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

Feedback during the Appraisal Year

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. Where matters require discussion with the staff member there is no reason why this must wait until the next appraisal review meeting. The feedback will be constructive and will highlight particular areas of strength as well as any areas that need attention and what needs to be done to develop areas of weakness. Staff will receive a formal midpoint review and an end point review.

Annual Assessment

Each staff members performance will be formally assessed in respect of each appraisal period. This assessment is the end point to the annual appraisal process, but performance and development priorities will be reviewed and addressed on a regular basis throughout the year as and when necessary but does not preclude the need for ongoing dialogue with members of staff throughout the year.

The staff member will receive a written appraisal report (end point review) as soon as practicable following the end of each appraisal period **and** have the opportunity to comment in writing on it. The appraisal) report will include:

- details of the staff members objectives for the appraisal period in question.
- an assessment of the staff members performance of their role and responsibilities against their objectives, in the context of the relevant standards.
- an assessment of the member of staff's training and development needs and identification of any action that should be taken to address them.
- a recommendation on pay where that is relevant for staff covered by teachers' conditions of service. Teachers will be informed of the outcome (e.g., whether the teacher has met their objectives and whether they will be recommended for a pay increment) after line manager's

discussions have taken place with the (Executive Headteacher/Principal/Headteacher). All final decisions sit with the BDAT Board.

NB To move up the main pay range, teachers will need to show that they have been judged as successful in the completion of the last round of performance/appraisals. This will include competency in the Teachers' Standards and good progress towards set objectives. The Governing body may exercise its' discretion and recommend enhanced pay progression for exceptional performance. The Governing Body may also decide not to recommend pay progression where the appraisal is considered unsuccessful. To move up to and through the Upper Pay Scale two consecutive successful rounds of performance management are required. Judging a round of performance management to be successful is a professional decision made by the appraisal manager and fully meeting all performance management targets is not a requirement for success. All final pay decisions are approved by the Trust Board within the allocated budget.

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

Appeals

Staff will have the right to comment on the appraisal report and through discussion the need to appeal may be avoided.

Appraisees have a right of appeal against any of the entries in the appraisal written report. Details of the appeals process are available from the (Executive Headteacher/Principal/Headteacher) or from the Academy Governing Body. The first line of appeal will be by making representations at a meeting with the appraiser. If the matter is still unresolved after this stage the matter will be heard by the Appeals Officer using the Academy's grievance procedures.

The (Executive Headteacher/Principal/Headteacher) will notify any staff member who has not been recommended for pay progression of the date when the Governing Body meets to consider pay recommendations, following which the teacher may exercise the right of appeal, assisted by a companion who may be a colleague, a trade union official or a trade union representative. Appeals on matters relating to pay progression will be dealt with under the procedure set out in the Academy's pay policy.

Staff experiencing difficulties during the /appraisal cycle.

The approach taken with the appraisal cycle is to encourage staff to develop their skills and expertise. Whilst it is perfectly normal for progress through the appraisal cycle to be monitored and additional support provided where necessary, occasionally a staff member may be identified as having particular difficulties in achieving a satisfactory standard of performance.

Meeting to discuss difficulties and additional support.

If an appraiser identifies through the appraisal process that the staff member is experiencing difficulties in reaching the expected standard of performance, and that the use of capability procedures could be necessary if the situation is not rectified. A meeting will be arranged (with 5 days' notice) to discuss the

situation. Concerns may arise through appraisal monitoring, observations of performance or via other sources of information (for example parental complaints).

The meeting will be conducted by the appraiser. The purpose of the meeting will be to prepare and agree an action plan to support the member of staff. Members of staff are given the opportunity to bring a Trade union representative or a work colleague to a difficulties meeting should they wish.

Although it is not a legal requirement, the Trust may use the HR advisory Service at any stage of the Appraisal process.

The appraiser will:

- give clear feedback about the nature and seriousness of the concerns.
- give the opportunity to comment and discuss the concerns.
- Set clear objectives for required improvement.
- agree support e.g., coaching, mentoring, structure observations, that will be provided to help address specific concerns.
- make clear how, and by when, the appraiser will review progress. It may be appropriate to revise objectives, and it will be necessary to allow sufficient time for improvement. The amount of time is up to the appraiser but should reflect the seriousness of the concerns.
- explain the implications and process if no, or insufficient improvement is made, e.g., impact on pay progression and potential to move to formal capability.

Where it is apparent that a staff member's personal circumstances or health are contributing to the difficulties at the academy, appropriate support including access to occupational health, will be offered as soon as possible, without waiting for the formal annual assessment.

The outcome of the meeting will be confirmed in writing including details of the Action Plan, the expected standards of performance and the timescale for improvement.

When dealing with a staff member experiencing difficulties, the objective is to provide support and guidance through the appraisal process in such a way that the staff member's performance improves and the problem is, therefore, resolved and the use of capability procedures becomes unnecessary.

When progress is reviewed, if the appraiser is satisfied that the individual 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.

The staff member also has a responsibility to engage with the action plan and to discuss with the appropriate manager any other forms that may be of assistance.

Transition to Capability

If a staff member demonstrates serious underperformance and/or has not responded to support provided within the appraisal process, the colleague 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. The capability procedures will be conducted as in the separate Capability Policy.

General Principles Underlying This Policy

Consistency of Treatment and Fairness

The Academy Trust is committed to ensuring consistency of treatment and fairness and will abide by all relevant equality legislation.

Sickness

If long term sickness absence appears to have been triggered by the commencement of the appraisal monitoring or a formal capability procedure, the case will be dealt with in accordance with the Trust's Attendance Management policy. Please also refer to the Trust Capability policy.

Grievances

Where a member of staff raises a grievance during the appraisal process about the said process, the process may be temporarily suspended in order to deal with the grievance.

Confidentiality & Professional Relationships

The appraisal process will be treated with confidentiality. Only the appraiser and the appraiser's line manager or, where he or she had more than one, each of his or her line managers will be provided with access to the appraisee's plan recorded in his or her statements. This will be done upon request and only where this is necessary to enable the line manager to discharge his or her line management responsibilities. Appraisees will be consulted on requests for access to statements in the context of this policy.

The process of gathering evidence for performance reviews will not compromise normal professional relationships between staff. The desire for confidentiality does not override the need for the (Executive Headteacher/Principal/Headteacher) and governing body to quality-assure the operation and effectiveness of the appraisal system. The (Executive Headteacher/Principal/Headteacher) or appropriate colleague might, for example, review all staff members' objectives and written appraisal records personally – to check consistency of approach and expectation between different appraisers. The (Executive Headteacher/Principal/Headteacher) should be made aware of all pay recommendations that are made.

Monitoring and Evaluation for School based staff.

The governing body and Head teacher/Principal will monitor the operation and effectiveness of the Academy's appraisal arrangements.

The **(Executive Headteacher/Principal/Headteacher)** will provide the governing body with a written report on the operation of the Academy's appraisal policy annually. The report will not identify any individual by name. The report will include an assessment of the impact of these policies on:

- Race
- Sex
- Sexual Orientation
- Disability
- Religion and Beliefs
- Age
- Part-time Status
- Maternity and Pregnancy

The **(Executive Headteacher/Principal/Headteacher)** will report on whether there have been any appeals or representations on an individual or collective basis on the grounds of alleged discrimination.

Retention

The Governing Body and Head teacher/Principal will ensure that all written appraisal records are retained in a secure place for six years and then destroyed.

Appendix One - Standards

Executive Headteachers / Principals / Headteacher and Teachers

teachers, regardless of career stage, will be assessed against the Teachers' Standards (DofE publication, May 2012).

Please refer to the following websites for relevant documentation, pertaining to Teachers' standards.

Teachers' Standards

https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/665520/Teachers_Standards.pdf

Overview of Teachers' Standards

https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/665522/Teachers_standard_information.pdf

How to Use Teachers' Standards

https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/283567/Teachers_standards_how_should_they_be_used.pdf

All other Staff

In the case of support staff, these members of staff will be assessed against the relevant job

Appendix One

	Appraisal	Transition to capability	Stage One: - Formal Capability Meeting		Stage Two: - Formal Capability Review Meeting		Stage Three: - Formal Capability Decision Meeting	
Role			Meeting Officer	Appeal Officer	Meeting Officer	Appeal Officer	Meeting Officer	Appeal Officer
CEO	Chair and nominated Trustee	Chair and Nominated Trustee	Chair and Nominated Trustee	A nominated Trustee	Chair and Nominated Trustee	A nominated Trustee		Panel of three drawn from Trustees
Executive Team	CEO and a nominated Trustee	CEO and a nominated Trustee	CEO and a nominated Trustee	A nominated Trustee	CEO and a nominated Trustee	A nominated Trustee	CEO and a nominated Trustee	Panel of three drawn from Trustees
Central Team	Line Manager	Line Manager	Line Manager	A nominated member of the Executive Team	Line Manager	A nominated member of the Executive Team	CEO	Panel of three drawn from Trustees
Executive Head	Education Director and a nominated Chair of Governors	Education Director and a nominated Chair of Governors	Education Director and a nominated Chair of Governors	A nominated Trustee	Education Director and a nominated Chair of Governors	A nominated Trustee	CEO	Panel of three drawn from the Trustees
Head / Principal / Head of School	Education Director and a nominated Chair of Governors	Education Director and a nominated Chair of Governors	Education Director and a nominated Chair of Governors	A nominated Trustee	Education Director and a nominated Chair of Governors	A nominated Trustee	CEO	Panel of three drawn from the LGB / Trustees
SLT	Head / Principal / Head of School	Head / Principal / Head of School	Head / Principal / Head of School	A nominated Governor	Head / Principal / Head of School	A nominated governor	Head / Principal / Head of School	Panel of three drawn from the LGB
Teachers	SLT	SLT	SLT	A nominated Governor	SLT	A nominated Governor	Head / Principal / Head of School	Panel of three drawn from the LGB
Support Staff	Line Manager	Line Manager	Line Manager	A nominated member of SLT / Governor	Line Manager	A nominated member of SLT / Governor	Head / Principal / Head of School	Panel of three drawn from the LGB