



**The Elliot Foundation Academies Trust
Appraisal Policy
November 2014**

Approved September 2014

Contents

1. **Introduction**
2. **Purpose and Application of policy**
3. **Part A - Appraisal for teachers**
 - The Appraisal Period
 - Appointing of Appraisers
 - Setting Objectives
 - Reviewing performance
 - Observation
 - Development and Support
 - Feedback
 - Annual Assessment
 - Monitoring and Evaluation
 - Transition to Capability
4. **Part B - Appraisal for support staff**
 - The Appraisal Period
 - Appointing of Appraisers
 - Setting Objectives
 - Reviewing performance
 - Development and Support
 - Feedback
 - Annual Assessment
 - Monitoring and Evaluation
 - Transition to Capability

5. General principles underlying this policy

1 Introduction

- 1.1 The Elliot Foundation Academies Trust (TEFAT) is committed to providing high quality teaching and learning. Our aim is to provide opportunities for every child whatever their ability and it is through our workforce that we hope to achieve this. In our academies each employee will be given support to help them develop to their full potential in their job and in turn this will help improve outcomes for our young people.
- 1.2 We are committed to continually developing and improving performance, guiding our employees through their careers with us. 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. We understand that managing and improving performance not only helps the employee but also the children and ultimately the 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) which have replaced the Education (School Teacher Performance Management) (England) Regulations 2006 (the 2006 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 TEFAT has decided to implement these Appraisal Regulations with regards to teachers in its academies with effect from September 2013.
- 1.6 TEFAT has decided to use the principles of the Appraisal Regulations and apply them to support staff employed within its academies to ensure consistency across all TEFAT academy employees.
- 1.7 This policy has been implemented following consultation with trade unions and employees within the academies.
- 1.8 TEFAT adopted this policy in September 2014. To be reviewed annually.
- 1.9 This policy has been implemented following consultation with the TEFAT National Joint Committee and Academy Principals.

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, and for supporting their development within the context of the academy's plan for improving educational provision and performance, and the set standards (DfE teachers standards and leadership standards) expected of each employee.
- 2.2 The policy comprises the following sections:
- Part A applies to the appraisal of teachers, except those on contracts of less than one term, those undergoing induction (*ie* NQTs) and those who are subject to TEFATs capability policy.
 - Part B of the policy, applies to the appraisal all support staff employed by TEFAT **except** those on contracts of less than one year, those undergoing probation and those who are subject to the TEFATs 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).

3. Part A –Appraisal for Teachers

- 3.1 Appraisal in this TEFAT academies will be a supportive and developmental process designed 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. It is intended to foster professional dialogue between colleagues. Where staff take a period of maternity or paternity leave the appraisal process will be agreed with the staff member prior to leave being commenced.
- 3.2 The Teacher's Standards will be used to inform the setting of the teacher's performance management/appraisal objectives. The Standards will be used as a framework against which the teacher's performance is assessed and not as a checklist.
- 3.3 Where teachers are eligible for pay progression, the assessment of performance throughout the cycle against the performance criteria specified will form the basis on which the recommendation is made by the appraiser. A successful appraisal review should lead to a recommendation for pay progression.
- 3.4 All appraisal activities will take place within the teacher's directed time, but not within a teacher's PPA time.

The appraisal period

- 3.5 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.
- 3.6 Where a teacher starts their employment at an Academy part-way through a cycle, the Principal or, in the case where the employee is a Principal, the local governing body, shall determine the length of the first cycle with a view to bringing it into line with the cycle for other teachers as soon as possible.
- 3.7 Principals and teaching staff will have their appraisal process completed by 31 October. Local governing bodies should aim to complete the Principals appraisal in advance of other staff being appraised.

Appointing appraisers

- 3.9 The Principal will be appraised by the local governing body, supported by a suitably skilled and experienced external adviser who has been appointed or approved by TEFAT for that purpose. The local governing body will delegate the responsibility for the Principals appraisal to a sub-group of three governors.
- 3.10 Where a Principal is of the opinion that any of the governors appointed by the local governing body is unsuitable to act as his/her appraiser, he/she may submit a written request for that governor to be replaced, stating the reasons for the request. The final decision of appraiser is with the local governing body.
- 3.11 The Principal of the academy will decide who will appraise each teacher. All appraisers will be qualified teachers. Where there are partners or family members working in the same academy, the Principal must ensure that appraisal of such staff is undertaken by a suitable person for which there is no conflict of interest.
- 3.12 The designated appraiser should normally have line-management responsibility for the teacher whose performance they are reviewing and who conducts all aspects of the review, including pay recommendations for teachers that are eligible.
- 3.13 Where teachers have an objection to the Principals choice, their concerns will be carefully considered and, where possible, an alternative appraiser will be appointed. The final decision of appraiser is with the Principal.
- 3.14 Where it becomes apparent that the appraiser appointed by the Principal will be absent for the majority of the appraisal cycle, the Principal may perform those duties him/herself or delegate those duties to another teacher for the duration of the absence.

Planning

- 3.15 The planning meeting is an important event in setting expectations and objectives for the year. The meeting should take place in directed time (not PPA time) and a quiet location used. The success criteria and forms of evidence that will inform the eventual review of the objectives should be set and an indication of where classroom observation will be used.

Setting objectives

- 3.16 Objectives for each teacher will be set before or as soon as practicable after, the start of each appraisal period. The objectives set for each teacher, will be Specific, Measurable, Achievable, Realistic and

Timebound (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.

- 3.17 The teacher's objectives are the focus for the appraisal review. No more than 3 objectives will be set for any teacher. They should also take account of the teacher's particular circumstances such as disability. If the teacher does not agree any of the objectives set this should be noted.
- 3.18 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 children 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.
- 3.19 The teacher standards are a framework and baseline that can be used to determine areas for development in order to achieve specific objectives. The standards for TEFAT academies are set out in the DfE Teachers Standards and are available on the DfE website. TEFAT recognises the importance of these standards as they not only provide a guide to being a teacher but also contribute to our aims.

Reviewing performance

Development and support

- 3.20 TEFAT 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. 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

- 3.21 Within TEFAT teachers will receive constructive and developmental 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. Oral feedback will be given, wherever possible, within 24 hours and written feedback within 5 working days. 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 such that, if not rectified, could lead to capability procedures, the appraiser, senior leader or Principal will meet the teacher to:

- give clear feedback to the teacher about the nature and seriousness of the concerns within a reasonable timescale;
- 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.

3.22 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. The teacher may be accompanied by a work colleague or trade union representative.

3.23 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.

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 ('transition to capability') should be followed. It will be for the appraiser to decide which procedure will be followed.

Annual assessment

- 3.25 At the end of the appraisal cycle a formal review meeting will be held where the appraiser and appraisee will discuss achievements, any areas for improvement and professional development activities. On the understanding that the planning meeting is a separate process, this meeting may be combined with the planning meeting for the next annual cycle.
- 3.26 The appraisal planning record will provide a focus for the review meeting. The purpose of the review meeting will be to:
- assess the extent to which the appraisee has met their objectives
 - determine whether there has been successful overall performance in confirming the appraisee continues to meet the relevant professional standards
 - if necessary, identify the need for additional support, training or development and how this will be met.
- 3.27 Each teacher's performance will be formally assessed in respect of each appraisal period. In assessing the performance of the Principal the local governing body must consult the external adviser.
- 3.28 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. 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].
- 3.29 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 TEFAT academies, teachers will receive their written appraisal reports by 31

October. 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 (*for all teaching staff, including Principals, by 31 October*);
- a space for the teacher's own comments.

3.30 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.

The outcome of the appraisal review at the end of the cycle will form the basis of any pay recommendation. The recommendation on pay is made by the appraiser to the Principal before being referred to the Pay Committee of the local governing body.

Monitoring & Evaluation

3.32 During the appraisal period, each teacher 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 and annual review meetings. The appraiser will then record the discussion on this evidence and make an assessment in the appraisal report.

3.33 In addition, a range of evidence should be available to the appraiser on the teacher's performance as part of the academy's quality assurance processes. Evidence may include but is not limited to:

- lesson observations (including "drop ins")
- work scrutiny
- planning scrutiny
- learning walks
- tracking data of pupil's progress
- progress of individuals/groups

- evidence of meeting Standards
- assessment of TLR
- other appropriate evidence

3.34 The Principal will report to the local governing body and TEFAT each year on the operation of the Appraisal Policy including any appeals or representations.

Observation

3.35 TEFAT 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. TEFAT operates a Classroom Observation Protocol which is reviewed on an annual basis. Classroom observation of teachers will be carried out in accordance with this Protocol.

3.36 In TEFAT academies, teachers' performance will be observed but the amount and type of classroom observation will depend on the individual circumstances of the teacher (such as the specific objectives or wishes of the teacher) and the overall needs of the school, and in line with the classroom observation protocol. Observation for appraisal purposes will be limited to that required to make an assessment of objectives. Classroom observation will be carried out by those with QTS.

3.37 Teachers who have responsibilities outside the classroom will also have their performance of those responsibilities observed and assessed.

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

Transition to Capability

3.39 Performance management is an ongoing process. If the appraiser is not satisfied with progress, despite the support provided, this will be discussed at a meeting (the informal review meeting) with the employee and 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.

Final

4. Part B –Appraisal of Support Staff

- 4.1 Appraisal in TEFAT academies 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 academy business manager or other manager decided by the Principal will be appraised by the Principal. The Principal in consultation with this manager will decide who will appraise other members of support staff. Where there are partners or family members working in the same academy, the Principal must ensure that appraisal of such staff is undertaken by a suitable person for which there is no conflict of interest.

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, 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. No more than 3 objectives will be set for any member of support staff. They should also take account of the employees particular circumstances such as disability. If any objective is not agreed then this should be noted.
- 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 TEFAT 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.
- 4.7 Agreed training and professional development will be linked to school/academy improvement priorities and where possible to the ongoing development needs and priorities of individual support staff members. TEFAT academies 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

- 4.8 Within TEFAT academies 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. 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.

- 4.9 This meeting can happen at anytime 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. The member of staff may be accompanied by a work colleague or trade union representative.
- 4.10 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.
- 4.11 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 4.18) should be followed. It will be for the appraiser to decide which procedure will be followed.

Annual assessment

- 4.12 Each member of support staff will have their performance formally assessed in respect of each appraisal period.
- 4.13 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 (Spring Term). 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 and what support will be provided.
- 4.14 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 TEFAT academies, support staff will receive their written appraisal reports by 31 September. 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 or relevant standards
- an assessment of the support staff training and development needs and identification of any action that should be taken to address them.

4.15 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

4.16 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 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

4.17 Performance management is an ongoing process. If the appraiser is not satisfied with progress, despite the support provided, this will be discussed at a meeting (the informal review meeting) with the employee and 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.

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 TEFAT academies 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.

Consistency of Treatment and Fairness

TEFAT and the local governing bodies are committed to ensuring consistency of treatment and fairness. It will abide by all relevant equality legislation, including the duty to make reasonable adjustments for disabled teachers. TEFAT and the local governing bodies are 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 governing bodies and Principal.

Monitoring and Evaluation

The governing body and Principal will monitor the operation and effectiveness of the school's appraisal arrangements and report to TEFAT and the local governing body annually or 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 TEFATs 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. A copy of the Principals appraisal objectives and review will be provided to TEFAT. All records will be and kept no longer than is necessary in accordance with the Data Protection Act 1998.