



TWO RIVERS  
HIGH SCHOOL



## Appraisal Policy

### All Endeavour Multi Academy Trust's Schools

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## **Purpose**

The purpose of this policy is to ensure that the standards of professional performance achieved by all staff are dealt with in a systematic and fair way.

The organisation is committed to supporting and retaining individuals who have the right motivation, skill and experience to make a positive contribution to the organisation's success and the delivery of high-quality education.

The organisation is committed to achieving this through:

- setting high standards of expectation consistent with the school community, expectations of our organisation and relevant professional standards;
- the application of consistent and fair procedures in accordance with good practice and equal opportunities;
- adhering to relevant employment legislation and statutory guidance.

## **1. Scope**

This policy applies to all employees of Endeavour Multi Academy Trust including, temporary, fixed term staff dependent upon length of service. This policy sets out the framework for a clear and consistent assessment of the overall performance of colleagues including support staff, teachers and the Executive Headteacher/Headteacher, and for supporting their development within the context of the organisation's plan for improving educational provision and performance to enhance pupil achievement, and the professional and organisational standards expected.

This policy does not apply to teachers appointed on contracts of less than one term, those undergoing induction (i.e. ECTs) and those who are subject to capability procedures. The Appraisal process will not be used as a substitute for informal programmes of support or counselling which should precede the initiation of a formal capability procedure.

Appraisal in this Trust will be a supportive and developmental process designed to ensure that all colleagues have the skills and support they need to carry out their role effectively. It will help to ensure that all colleagues are able to continue to improve their performance and professional practice through high quality continuous professional development (CPD) and to develop their skills and practice further.

This procedure does not form part of your contract of employment and may be varied with consultation.

## **2. Accountabilities**

The Executive Headteacher/Headteacher is accountable for ensuring that managers are appropriately trained to implement this policy and for appointing appropriately skilled managers to appraise others.

### **Appraisers of Teaching Staff**

All appraisers of teachers other than Executive Headteachers/Headteachers will have appropriate, relevant and current teaching experience and will have Qualified Teacher Status (QTS). All appraisers will receive sufficient and appropriate training before undertaking the role. The appraiser will have equivalent or greater level of responsibility than the colleague they are appraising, and normally have line management responsibility. The appraiser will conduct all aspects of the review, including pay recommendations of teachers who are eligible.

Where it becomes apparent that the appointed appraiser will be absent for the majority of the appraisal cycle, the Executive Headteacher/Headteacher may perform those duties or delegate those duties to

another appraiser for the duration of the absence. Where possible, alternative appraisers will be offered to colleagues where there is a genuine and valid reason to appoint an alternative appraiser.

The Executive Headteacher/Headteacher will be appraised by the Chief Executive Officer.

### **Appraisers of Support Staff**

All appraisers of support staff will be an appropriate member of the staff team and will be suitably trained. The choice of appraiser is for the Executive Headteacher/Headteacher. Where individuals have an objection to this choice, their concerns will be carefully considered, taking into account what is reasonable, however; ultimately the decision rests with the Headteacher.

Where it becomes apparent that the appraiser appointed by the Headteacher will be absent for the majority of the appraisal cycle, the Executive Headteacher/Headteacher may perform those duties themselves or delegate those duties to another individual for the duration of that absence. Where possible, alternative appraisers will be offered to colleagues where there is a genuine and valid reason to appoint an alternative appraiser.

If the Headteacher appoints an appraiser who is not the individual's manager, that appraiser will have an appropriate position in the staffing structure, together with the necessary background knowledge, skills and training to undertake the role.

### **Appraisers of Central Executive Team**

The appraisers of the Central Executive Team will have appropriate and relevant experience. The appraiser should have equivalent or greater level of responsibility than the colleague he or she is appraising and should therefore be a member of the Trustees Board. The appraiser will conduct all aspects of the review including setting objectives and pay recommendations in line with the Executive Pay Policy.

### **All Employees**

All employees have a responsibility to maintain high standards of performance. Employees are responsible for maintaining an appropriate level of skill and knowledge to fulfil their role and must reasonably engage in the training and support offered to ensure that professional and organisational standards are met.

## **3. Guiding Principles**

The following guiding principles will apply:

**Confidentiality** - The appraisal process will be treated with confidentiality. However, the desire for confidentiality does not override the need for the organisation to quality-assure the operation and effectiveness of the appraisal system.

**Equitable and Fair** – We are committed to equality and diversity and will make reasonable adjustments to the application of this policy and procedure in line with our equal opportunities commitment.

**Consistent and Objective** – All managers have a duty to ensure that they and all of the colleagues they are responsible for are aware of, and comply with, the organisation's policies and procedures. Managers are also responsible for making sure that the appraisal objectives set meet the aims of the organisation and are specific to the employee. For teachers, the objectives should also be linked to Teacher Standards.

**Policy Monitoring and Evaluation** - The organisation will monitor the operation and outcomes of appraisal arrangements and the Executive Headteacher/Headteacher will provide the Local Governing Board/Trust board with a written report on the operation of the appraisal policy annually. The report will avoid, where possible, the identification of any individual whose performance is appraised under this policy.

The report will include:

- the operation of the appraisal policy;
- the effectiveness of the school's appraisal procedures;
- staff training and development needs.

#### **4. Link with Other Policies and Procedures**

**Grievance Policy** – In exceptional circumstances a colleague may raise a grievance about the Executive Headteacher/Headteacher or manager in relation to the application of the appraisal policy. In these circumstances, the matter should be investigated in accordance with the organisation's Grievance Procedure.

Depending on the circumstances it may be appropriate to suspend the procedure until the grievance can be considered. Such a delay should only be considered where there is a strong indication that the colleague has been mistreated and consideration should be given to bringing in another manager to deal with the appraisal cycle. Any records should be passed to the new manager and, if appropriate, the appraisal cycle should be continued within the same timetable.

**Managing Attendance at Work Policy** - Absence which is triggered by the Appraisal Policy, and which management believe is likely to be long term, should be referred immediately to the occupational health adviser to assess the colleague's fitness for work and what support can be offered.

The appraisal process and objectives may need to be adjusted if long term sickness absence or maternity leave affects the achievement or progress towards the appraisal objectives, and in such cases a review will take place.

**Capability Procedure** – Managers will not rely solely on the appraisal process as a trigger to consider implementation of the capability procedure. The organisation will take account of a wider knowledge of the quality of performance and the appraisal process will inform that wider knowledge. The organisation recognises that poor performance issues can arise for a variety of reasons including being triggered by work related and non-work-related factors. Once a decision has been made to proceed to capability procedures the appraisal process will be suspended.

Before embarking on a formal capability procedure, the appropriate manager will be able to evidence that appropriate support through the appraisal process has been exhausted and has failed to achieve the required improvements. The teacher 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.

Appraisal and capability processes will be kept separate.

#### **5. The Appraisal Period**

**Teachers** - The appraisal period for teachers will run for twelve months. Appraisals must be completed by 31<sup>st</sup> October for Teaching staff and by 31<sup>st</sup> December for Headteachers.

**Support Staff and Non-Teaching Central Executive Team** - The appraisal period for support staff will run for twelve months normally from 1 April to 31 March however for the non-teaching central executive team the appraisal period will be the academic year.

**All Colleagues** - 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 appraisal period will be determined by the duration of their contract.

There is flexibility to have a longer or shorter appraisal period when colleagues begin or end employment part way through an appraisal cycle.

## **6. Setting Objectives**

### **Teaching Staff Objectives**

Objectives set will be personalised and relevant to the Teacher's performance against Teacher Standards. Objectives should be achievable over an agreed timeframe and criteria for success should be agreed at the beginning of the appraisal period. Objectives should be set at an appropriate level for the colleague given their role and level of experience and be suitably challenging so that the improvement in the colleague's performance is clearly demonstrated through changes in knowledge, skills and behaviours over the agreed timeframe.

Whilst common objectives may be agreed to support school development plans, all objectives should be relevant to the development area(s) identified for the individual colleague.

The Executive Headteacher/Headteacher's objectives will be set by the Chief Executive Officer.

Objectives for each colleague will be set before or as soon as practicable after, the start of each appraisal period. This will be quality assured by the Executive Headteacher/Headteacher.

The appraiser and appraisee will seek to agree the objectives but where a joint determination cannot be made the appraiser will make the determination. The appraisee may request moderation and should this be unsuccessful then the appraisee will be given the opportunity to append comments alongside their objectives. Objectives may be revised by agreement if circumstances change.

The objectives set will, if achieved, contribute to the school's plans for improving the school's educational provision and performance and improving the education of pupils taking into account the professional aspirations of staff. Colleagues will not normally be given more than three objectives: setting more than three objectives can cause increased workload and be inconsistent with the Trust's strategy for achieving work/life balance for all staff.

Before, or as soon as practicable after the start of each appraisal period, colleagues will be informed of the standards against which their performance in that appraisal period will be assessed.

Teachers' Standards provide the context in which, through professional discussions, objectives are set, CPD needs identified, success criteria defined and the nature and extent of any required observations planned. The Teachers' Standards should not be used as a checklist but should inform the setting of targets. The agreed objectives will contain a description of what success may look like.

The use of numerical targets should not normally be considered as appropriate, if they are to be used these will be reasonable in the circumstances and consideration will be given to factors outside the colleague's control which may significantly affect success.

The appraiser will take into account the effects of an individual's circumstances, including any disability, when agreeing objectives. For example, this might include a reasonable adjustment to allow an individual slightly longer to complete a task than might otherwise be the case. When staff return from a period of extended absence, objectives may be adjusted to allow them to readjust to their working environment.

## **Support Staff and Central Team Objectives**

Objectives should be achievable over an agreed timeframe and criteria for success should be agreed at the beginning of the appraisal period. Objectives should be set at an appropriate level for the colleague given their role and level of experience and be suitably challenging so that the improvement in the colleague's performance is clearly demonstrated through changes in knowledge, skills and behaviours over the agreed timeframe.

Whilst common objectives may be agreed to support school development plans, all objectives should be relevant to the development area(s) identified for the individual colleague.

Objectives for each colleague will be set before or as soon as practicable after, the start of each appraisal period. This will be quality assured by the Executive Headteacher/Headteacher for support staff and the appropriate Trustee for the central team.

The appraiser and appraisee will seek to agree the objectives but where a joint determination cannot be made the appraiser will make the determination. The appraisee may request moderation and should this be unsuccessful then the appraisee will be given the opportunity to append comments alongside their objectives. Objectives may be revised by agreement if circumstances change.

The appraiser will take into account the effects of an individual's circumstances, including any disability, when agreeing objectives. For example, this might include a reasonable adjustment to allow an individual slightly longer to complete a task than might otherwise be the case. When staff return from a period of extended absence, objectives may be adjusted to allow them to readjust to their working environment.

## **7. Reviewing performance**

### **Teaching Staff**

As appropriate, 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 manner and follow the procedure as set out in **Appendix 1**.

The amount and type of observation will depend on the individual circumstances and the overall needs of the organisation.

The total period for classroom observation arranged for appraisal purposes for any teacher will not normally exceed three hours per cycle having regard to the individual circumstances of the teacher. There is no requirement to use all of the three hours. The amount of observation will reflect, and be proportionate to, the needs of the individual. Classroom observation of teachers will be carried out by those with QTS. All colleagues including Teachers and Executive Headteacher/Headteacher, who have responsibilities outside the classroom should also expect to have their performance of those responsibilities observed and assessed.

In the more general monitoring and evaluating of teaching standards, concerns may be identified. Any concerns that may arise should be discussed with the teacher.

Verbal feedback will be given promptly following any observation and written feedback will be provided within ten working days by the person who has undertaken the observation.

### **Support Staff and Central Team**

As appropriate, observation of professional duties and other responsibilities, including reviewing work evidence, 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.

### **Development and Support**

Appraisal is a supportive process which will be used to inform CPD. The organisation encourages a culture in which all colleagues take responsibility for improving their performance through appropriate professional development. Professional development will be linked to school improvement priorities and to the ongoing professional and performance development needs and priorities of individual colleagues.

The CPD Plan will be informed by the training and development needs identified through the appraisal process and the organisation will ensure, as far as possible, that appropriate resources are made available to provide and identify support. This may include coaching, mentoring, work shadowing or training provided internally or externally.

An account of the support and development needs of teachers and support staff, including the instances where it did not prove possible to provide any agreed CPD, will form a part of the Executive Headteacher/Headteacher's annual report to the Local Governing Board/trust board about the operation of the appraisal process in each school of the Trust

Appropriate consideration will be given for failing to make good progress towards meeting their performance criteria where the support identified or a suitable alternative has not been provided.

### **Feedback**

Colleagues will receive constructive feedback on their progress towards the achievement of their appraisal objectives throughout the appraisal cycle e.g. following observation or review of work evidence. Feedback will be given in a supportive context highlighting particular areas of strength as well as any areas that need additional support in order to successfully meet their appraisal objectives. A written record on progress made should be kept detailing the date and key issues of any feedback and should form part of the appraisal documentation. Should either the appraiser or appraisee identify issues of concern, an interim meeting may be called to discuss any support that is necessary to address the concerns.

## **8. Annual Assessment**

Performance will be formally assessed in respect of each appraisal period at the end of the annual appraisal process, however, performance and development priorities should be reviewed at an interim meeting part way through the appraisal cycle.

The whole process will have regard to the work life balance of all employees within the Trust and of what can be reasonably expected of any colleague in accordance with their contract of employment. Priorities or objectives may need to be reviewed if an appraisee's circumstances or responsibilities change. In such cases amendments will be agreed with the colleague and confirmed in writing.

The colleague will receive a written appraisal report, as soon as practicable following the end of each appraisal period, and they will have the opportunity to comment in writing on the report.

In this Trust, teachers will receive their written appraisal reports by 31 October (31<sup>st</sup> December for Headteachers) from the Executive Headteacher/Headteacher. Support staff will receive their written appraisal report by 30 April from the Executive Headteacher/Headteacher. The Central Executive Team will receive their written appraisal by 31<sup>st</sup> December.



The appraisal report will include:

- details of the objectives for the appraisal period in question;
- an assessment of the performance of their role and responsibilities against their objectives and the relevant identified standards;
- an assessment of the training and development needs and identification of any action that should be taken to address them;
- a recommendation on pay;
- the appraisee's own comments.

Consideration of any pay recommendations will be made in accordance with the organisation's pay policy and the colleague's terms and conditions of employment.

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

## **9. Appeals**

At any point in the appraisal process, employees have a right of appeal in respect of application of the policy. The grounds for the appeal will determine the relevant appeal process to be used, for example, an appeal may need to be considered under the Trust pay policy.

An employee wishing to appeal must notify the Executive Headteacher/Headteacher in writing of their intention to appeal a decision made including their grounds of appeal. The Executive Headteacher/Headteacher will confirm the relevant policy and procedure for the appeal which will set out the process and relevant timescales.

The appeal will take place within 10 working days of notification of appeal.

## **10. Data Protection**

The Trust will comply with the provisions of relevant UK data protection legislation. Employee data will be processed by the Trust in accordance with the principles of that legislation and as set out in our privacy notice, as necessary for the performance of the employee's contract of employment and/or compliance with a legal obligation and/or the conduct of the organisation's business. The Trust will ensure that personal information about an employee, including information in personnel files, is securely retained for the period of time set out in the Trust retention schedule.

Minutes of formal meetings will be given to employees for information and copies of notes, letters and other relevant documentation will be retained on file. Please note that employees may exercise their data protection rights in relation to information processed in connection with their employment, as set out in the Trust privacy notice.

## Appendix 1 – Teaching Staff Only

### Classroom Observation Protocol for Appraisal Purposes

The Endeavour Trust is committed to ensuring that classroom observation is developmental and supportive and that those involved in the process will:

- carry out the role with professionalism, integrity and courtesy;
- evaluate objectively;
- report accurately and fairly;
- respect the confidentiality of the information gained; and
- ***seek to reach agreement in advance on how classroom observations are to be carried out.***

The total period for classroom observation arranged for any teacher, for appraisal purposes, will not exceed three hours per cycle having regard to the individual circumstances of the teacher. There is no requirement to use all of the three hours. The amount of observation for each teacher should reflect and be proportionate to the needs of the individual.

In this Trust 'proportionate to need' will be determined in keeping with the following principles:

The arrangements for classroom observation will be included in the planning and review statement and will detail the amount of observation, specify its primary purpose, any particular aspects of the teacher's performance which will be assessed, the duration of the observation, when during the appraisal cycle the observation will take place and who will conduct the observation. Prior to the appraisal observation the context of the observation will be confirmed between the appraiser and appraisee.

Where evidence emerges about the appraisee's teaching performance which gives rise to concern during the cycle, classroom observations may be agreed in addition with those recorded at the beginning of the cycle subject to a revision meeting being held.

Information gathered during the observation will be used, as appropriate, for a variety of purposes including informing school self-evaluation and school improvement strategies in accordance with the school's commitment to streamlining data collection and minimising bureaucracy and workload burdens on staff.

In keeping with the commitment to supportive and developmental classroom observation those being observed will be notified in advance. All teachers should be given at least 5 working days' notice of the appraisal observation.

Classroom observations will only be undertaken by persons with QTS. In addition, in this school, classroom observation will only be undertaken by those who have had adequate preparation and the appropriate professional skills to undertake observation and to provide constructive oral and written feedback and support, in the context of professional dialogue between colleagues.

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

Written feedback will be provided within five working days of the observation taking place. If issues emerged from an observation that were not part of the focus of the observation as recorded in the planning and review statement these should also be covered in the written feedback and the appropriate action taken in accordance with the regulations and guidance.

The written record of feedback also includes the date on which the observation took place, the lesson observed and the length of the observation. The teacher has the right to append written comments on the feedback document. No written notes in addition to the written feedback will be kept

## **Appendix 2 – Support Staff and Central Team**

All members of support staff will have an annual appraisal review meeting. The appraisal meeting should be planned in advance. Appraisers will give at least 5 days' notice of a review meeting to enable the member of staff to prepare.

The meeting should take place in a confidential and quiet location, which is free from interruptions and disturbance. Sufficient time, at least 1 hour, should be set aside for the meeting. Wherever possible this meeting will be within normal contracted working hours and will in all circumstances be paid.

The first part of the appraisal review discussion will include a reflection on the previous year. What has gone well and could be even better? There will be a review of progress with respect to the objectives set and a discussion about the evidence provided to demonstrate success.

Where the member of staff has engaged in development and training activities in the past appraisal period, there should be a discussion about what development has taken place and how this has assisted the individual with their role.

The second part of the appraisal discussion should focus on the future. This will include, setting appropriate objectives (SMART) for the coming year, identifying any areas for development or improvement and discussing what support and training may be required to support them in their role.

Appraisers should discuss future objectives ensuring that they are relevant to the role and context. Objectives should be: SMART (Specific, Measurable, Achievable, Realistic and Time bound). For some roles, it will be possible to link objectives to relevant professional or occupational standards, eg HLTA standards or National College competencies for School Business Managers. It is good practice for the number of objectives not to exceed 3.

It is important to discuss and determine what will be used as evidence of success. This will assist in providing clarity at the next review stage as to whether or not the objective has been achieved and how it has been achieved. The system of setting SMART objectives will assist with this.

Objectives should be mutually agreed where possible. Where it is not possible to achieve agreement on the objectives, the decision of the Appraiser (Line Manger) is final.