



St Edmundsbury and Ipswich

Diocesan Multi Academy Trust

WHOLE STAFF APPRAISAL POLICY

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CONTENTS

1. Introduction & scope	3
2. The appraisal period	3
3. Appointing appraisers	3
4. Setting objectives	4
5. Relevant professional standards	5
6. Observation	6
7. Other sources of information	6
8. Development and support.....	7
9. Reviewing performance.....	7
10. The appraisal report.....	7
11. Feedback and dealing with any concerns about performance	8
12. Transition to capability.....	8
13. General principles underlying the Appraisal Policy	8
Appendix 1 – Classroom observation protocol	10
Appendix 2 – Teachers’ Standards self-evaluation	11

POLICY FOR ALL STAFF

1. Introduction and scope

1.1 This policy applies to all employees of the St Edmundsbury and Ipswich Diocesan Multi-Academy Trust ('the Trust'), including those who are centrally employed and not working within a school. It does not apply to employees who are:

- employed under contracts of less than one term
- undergoing induction (including NQTs) or probationary
- subject to formal capability procedures

It also does not apply to individuals working within the Trust under contract arrangements with external providers.

1.2 Together with the Trust's Pay Policy, this policy provides a framework for the clear and consistent assessment of overall performance of all staff. It sets out arrangements for supporting staff development in accordance with school improvement plans. Performance management and appraisal is a developmental and supportive process, designed to ensure that all staff have the necessary skills to carry out their role and to continuously improve their performance.

1.3 This policy also sets out the arrangements for managing an employee's performance when it falls below the required standards. Further guidance on the standards expected is included in the Trust's Pay Policy.

2 The appraisal period

2.1 The annual appraisal period for teaching staff is twelve months from 1 September to 31 August. For support staff working in schools and for staff centrally employed by the Trust, the appraisal period is 1 April to 31 March. A longer or shorter appraisal period may apply for appointments starting part way through the academic year. Timescales for the completion of annual performance reviews and the award of any pay progression are detailed in the Trust's Pay Policy.

2.2 A mid-year review of performance may be conducted half-way through the appraisal period.

2.3 The appraisal period for members of staff who are employed on a fixed term contract of less than one year will reflect the duration of their contract.

3 Appointing appraisers

3.1 Appraisers are responsible for setting objectives, reviewing performance, making an annual recommendation on pay progression and agreeing arrangements that support continued professional development.

- 3.2 Headteachers will be appraised by a panel of two members of the Local Governing Body, supported by a suitably skilled and/or experienced external adviser who has been appointed by the Trust for that purpose.
- 3.3 Headteachers will appraise Senior Leadership staff in schools and may delegate the appraisal of other staff, as appropriate.
- 3.4 Centrally employed staff will be appraised by the Chief Executive Officer. The Chief Executive Officer will be appraised by the Chair of the Trust's Board of Directors.
- 3.5 Should an employee wish to dispute the suitability of their appraiser, they may submit a request to the Headteacher (or in the case of the Headteacher to the Chair of the Local Governing Body) for that appraiser to be replaced, stating the reasons for their request. In the case of centrally employed employees and the Chief Executive Officer, any such request should be submitted to the Chair of the Board of Directors. Reasonable consideration will be given to any such request.
- 3.6 Where a request is rejected, the reasons for this will be explained to the employee and consideration given to other arrangements (for example, additional moderation of reviews or support during review meetings) which aim to ensure fair application of the appraisal process.

4 **Setting objectives**

- 4.1 Objectives must contribute to schools' plans for improving its educational provision and performance. Appraisers will, therefore, be expected to align individual objectives with school priorities. For centrally employed staff, objectives must contribute to the Trust's plans.
- 4.2 Objectives will be:
- SMART (Specific, Measurable, Achievable, Realistic and Time-bound)
 - Well defined so that the employee and appraiser are clear what success looks like
 - Become more challenging as staff progress up their pay range/grade
 - Be appropriate to the employee's role and level of experience, with regard to their professional aspirations and ability to maintain a work life balance.
- 4.3 A minimum of three objectives will be set in any appraisal period.
- 4.4 For teaching staff, objectives will include the following:
- One numeric target, directly linked to pupil progress and attainment, and
 - One target related to the development of teaching and learning/professional practice, typically reflecting feedback from lesson observations, and
 - One target related to personal development, in the context of the school's improvement priorities.
- 4.5 Additional objectives may be set, for example, relating to intervention strategies or the percentage of pupils making expected progress.

- 4.6 For staff in receipt of a Teaching and Learning Responsibility and/or a Special Educational Needs allowance, one of their objectives will relate solely to this additional responsibility.
- 4.7 For staff with roles not directly involved in the delivery of/supporting teaching and learning, objectives should contribute to school improvement priorities, reflective practice and overarching Trust objectives, from time to time.
- 4.8 Objectives will be set, following discussion with an employee, before, or as soon as practicable after, the start of an appraisal period. The appraiser and employee will seek to agree objectives however, in the absence of agreement; the appraiser's determination is final. Every reasonable effort should be made to resolve any 'dispute' regarding objectives at an early stage.
- 4.9 Objectives may be revised in discussion with the employee should circumstances change.

5 Relevant professional standards

- 5.1 The Trust's Pay Policy sets out the professional standards and wider expectations against which employees will be assessed as part of their overall performance at the end of the appraisal period. Appraisers should ensure that all employees are clear about the standards and expectations against which their performance will be assessed as soon as practicable in each appraisal period.
- 5.2 Reflective practice is an essential part of continuous professional development for all Trust staff, and self-evaluation is encouraged in all roles.
- 5.2.1 Teaching staff should complete a self-evaluation against the Teachers' Standards (see Appendix 2) in anticipation of their annual appraisal review which should be submitted to their appraiser no later than 2 weeks before their review.
- 5.2.2 Support staff may refer to professional standards or competency frameworks relevant to their roles, for example:
- School business management competency framework:
http://www.nasbm.co.uk/home/Resource/SBM_Compentency_Framework_2014.pdf
 - National Occupational Standards for Supporting Teaching Learning:
https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/239935/NOS-SUPPORT_for_supporting_teaching_learning.pdf
 - Higher Level Teaching Assistant standards guidance (this document is archived but remains a useful reference guide) (p.46 of):
http://webarchive.nationalarchives.gov.uk/20130401151715/http://www.education.gov.uk/publications/eOrderingDownload/hlta_guidance.pdf

6 Observation

- 6.1 The Trust believes that observation of classroom practice and other responsibilities is an important part of performance management both as a means of identifying employees' strengths and weaknesses and promoting improvements in teaching standards and pupil attainment.
- 6.2 Observations will be carried out in a supportive manner and will be regular. The frequency and type of observation will be dependent upon the circumstances of case and the overall needs of the school. However, within the appraisal process, it will not normally exceed three hours.
- 6.3 In addition, Headteachers or others with responsibility for standards may conduct other observations, learning walks or "drop in" observations in order to evaluate teaching and learning standards and to check that high standards are being achieved and maintained. The length and frequency of other observations, learning walks or "drop in" observations will vary depending on individual circumstances.
- 6.4 Classroom observations will be carried out by those with QTS, following the Classroom Observation Protocol in Appendix 1.
- 6.5 The performance of individuals with responsibilities outside of the classroom (including Headteachers) will be observed and assessed, as appropriate.

7 **Other sources of information**

- 7.1 Evidence from a range of sources will inform the overall assessment of performance in accordance with paragraph 9 of this policy and the Trust's Pay Policy.
- 7.2 When assessing overall performance (against the requirements of job descriptions, objectives, CPD progress, professional standards/expectations and, where relevant, teaching practice), evidence may include:
- Feedback from formal lesson or task observations
 - Professional conversations following learning walks or "drop in" sessions
 - For staff with roles not directly involved in the delivery of/supporting teaching and learning, professional conversations regarding:
 - interactions with colleagues, pupils, parents and members of the school/community; and/or
 - informal feedback on tasks undertaken
 - Feedback from formal lesson observations, learning walks or "drop in" observations
 - Reviews of assessment results
 - Reviews of schemes of work and/or lesson planning records
 - Reviews of pupils' work
 - School reviews, departmental reviews and/or reviews of extra-curriculum provision
 - Internal tracking of pupil progress or other progress and outcome data
 - Moderation within and across schools
 - Pupils' voice
 - Parents' voice
 - Continuous Professional Development (CPD) records.

8 **Development and support**

8.1 Appraisal is a supportive process used to inform continuing professional development ('CPD'). The Trust expects all members of staff to take responsibility for improving their teaching and/or responsibilities of their role through appropriate CPD. CPD will be linked to schools' respective improvement priorities and the ongoing needs/priorities of individual staff members. In the case of competing demands on a school's budget for CPD, a decision on priority will be taken with regard to:

- The extent to which it will aid an employee to meet their objectives, and
- The extent to which it will help the school to achieve its improvement priorities.

8.2 Should a member of staff receive significant investment in their CPD (£1,000- £5,000 per year) and subsequently decide to leave the Trust's employment, repayment of CPD funding from the individual may be sought as follows:

- Where an employee leaves within 6 months of completing CPD – repayment in full
- Where an employee leaves within 1 year of completing CPD – repayment of 50%

8.3 Where CPD funding exceeds £5,000 and an employee decides to leave the Trust's employment, repayment of the funding may be sought as follows:

- Where an employee leaves within 12 months of completing CPD – repayment in full
- Where an employee leaves within 2 years of completing CPD – repayment of 50%

8.4 Where a departing employee arranges for their new employer to meet the CPD funding repayment, written confirmation from the new employer will be required in order to avoid deductions being made from the employee's salary.

9 **Reviewing performance**

9.1 At the end of every appraisal period, an employee's overall performance will be assessed by the appraiser and based on that assessment, a recommendation on pay progression will be made (using the criteria detailed in the Trust's Pay Policy).

10 **The appraisal report**

10.1 All employees will receive a written appraisal report as soon as practicable following the performance review at paragraph 9 confirming:

- Details of the individual's objectives which were assessed and details of the assessment (for example, whether or not they were met)
- An assessment of the individual's overall performance (in the context of the requirements of their job description/role, their objectives, CPD progress, professional standards/expectations and, where relevant, teaching practice)
- An assessment of the individual's training and development needs (as at the date of the performance review) and details of any action to be taken to address them (this should inform the planning process for the following appraisal period)
- A recommendation on any pay progression.

10.2 Employees are permitted to provide written responses to the appraisal report within 10 working days of the date of the report. Any such response should be addressed to their appraiser.

10.3 Arrangements for the consideration of pay recommendations and any appeal (including informal and formal stages) are described in the Trust's Pay Policy.

11 **Feedback and dealing with any concerns about performance**

11.1 All staff will receive constructive feedback on their performance throughout the year and as soon as practical after any observation/performance assessment has taken place. Any feedback on weak areas of performance will include reference to areas of strength, wherever possible, and will include details of proposed next steps.

11.2 Where there are concerns about any aspect of an employee's performance, the line manager (or in certain case, the Headteacher) will meet with the individual to:

- Give clear feedback to the member of staff about the nature and seriousness of the concerns
- Give the individual the opportunity to comment upon and discuss the concerns
- Agree any support (e.g. coaching, mentoring, structured observations) that will be provided to help address those specific concerns
- Make clear how and when their progress will be reviewed (performance expectations will be made clear and a reasonable period for improvement will be allowed for)
 - Make clear the expectation for significant and sustained improvement by the end of the review period and explain the implications and process if this is not achieved.

11.3 At the end of the review period (referred to in paragraph 11.2), should the line manager consider that performance standards have been met or sufficient progress towards those standards is being made, the appraisal process will continue in accordance with this policy.

12 **Transition to capability**

12.1 At the end of the review period (referred to in paragraph 11.2), if the line manager is not satisfied with an employee's progress and considers that their performance should be managed under the Trust's Capability Procedure, they will notify the employee in writing.

13 **General principles underlying the Appraisal Policy**

13.1 **Confidentiality**

The appraisal process will be treated confidentially. However, the requirement of confidentiality does not override the Trust/school's need to quality-assure the operation and effectiveness of appraisal procedures/pay decisions and to share information, as necessary.

13.2 **Consistency of treatment and fairness**

The Trust is committed to ensuring consistency, equality and fairness in its treatment of staff in accordance with the relevant statutory provisions.

Local Governing Bodies shall promote equality in all aspects of school life, including staff training and development.

13.3 Monitoring and Evaluation

Headteachers and Local Governing Bodies will monitor the operation and effectiveness of schools' appraisal arrangements. Headteachers will provide their Local Governing Body with an annual written report on the operation of the Trust's Appraisal Policy, including information on training and development needs and whether there have been any appeals or representations regarding appraisal procedures. The report will not contain any information which would enable any individual to be identified.

13.4 Retention

Headteachers and Local Governing Bodies will ensure that all written appraisal records are retained in a secure place for six years and subsequently destroyed.

Trust staff and recognised unions were consulted on this document on:	
It was ratified by the Trust Board on:	

Appendix 1 – CLASSROOM OBSERVATION PROTOCOL

1. The Trust is committed to ensuring that classroom observation is developmental and supportive and that those involved in the process:
 - Carry out the role with professionalism, integrity and courtesy
 - Evaluate objectively, acknowledging any particular circumstances which may affect performance on the day
 - Report accurately and fairly
 - Respect the confidentiality of the information gained.
2. The amount and type of classroom observation will depend upon the individual circumstances of the member of staff and the overall needs of a school. In keeping with the commitment to supportive and developmental classroom observation, those being observed will be notified not less than two working days in advance.
3. Wherever practicable, arrangements for classroom observation will be included in an annual plan to be produced by schools. As appropriate, this will include the amount/duration of observation, its primary purpose, when during the appraisal cycle the observation will take place and who will conduct the observation. Although classroom observation will be undertaken in line with this plan, other information gathered during the observation will be used, as appropriate, for a variety of purposes including informing a school's self-evaluation and school improvement strategies. This is consistent with the Trust's commitment to streamlining data collection and minimising bureaucracy and workload burdens on staff.
4. Where concerns about performance arise during the appraisal period it may be necessary to carry out classroom observations in addition to, or which vary, those recorded at the beginning of the appraisal period. In these circumstances, the appraisal plan will be updated.
5. Classroom observations will only be undertaken by those with QTS. In addition, classroom observation will only be undertaken by those who have been trained in classroom observation and in the provision of constructive and supportive feedback in the context of professional dialogue between colleagues. Headteachers will seek to discharge their responsibility for monitoring the quality of teaching and learning primarily through the planned classroom observations.
6. Verbal feedback will be given as soon as possible after the observation and normally within one working day of the observation taking place. It will be given during directed time, in a suitable and private environment. Written feedback will be provided within five working days of the observation taking place. If issues emerge from an observation that were not part of the focus of the observation as recorded in the appraisal plan, these should also be covered in the written feedback and the appropriate action taken. No written notes in addition to the written feedback will be kept. Teachers may append written comments on the feedback document.

Appendix 2 – Teachers’ standards self-evaluation

Please review these standards before your annual performance review meeting. They should inform performance objectives to be set and any professional development that you may need, which should be discussed at the meeting.

PART 1 – TEACHING	Self-evaluation			
1. SET HIGH EXPECTATIONS WHICH INSPIRE, MOTIVATE AND CHALLENGE STUDENTS	Weak	Developing	Embedded	Strength
1(a) establish a safe and stimulating environment for students, rooted in mutual respect				
1(b) set goals that stretch and challenge students of all backgrounds, abilities and dispositions				
1(c) demonstrate consistently the positive attitudes, values and behaviour which are expected of students				
2. PROMOTE GOOD PROGRESS AND OUTCOMES BY STUDENTS				
2(a) be accountable for students’ attainment, progress and outcomes				
2(b) be aware of students’ capabilities and their prior knowledge, and plan teaching to build on these				
2(c) guide students to reflect on the progress they have made and their emerging needs				
2(d) demonstrate knowledge and understanding of how students learn and how this impacts on teaching				
2(e) encourage students to take a responsible and conscientious attitude to their own work and study				
3. DEMONSTRATE GOOD SUBJECT AND CURRICULUM KNOWLEDGE				
3(a) have a secure knowledge of the relevant subject(s) and curriculum areas, foster and maintain students’ interest in the subject, and address misunderstandings				
3(b) demonstrate a critical understanding of developments in the subject and curriculum areas, and promote the value of scholarship				
3(c) demonstrate an understanding of and take responsibility for promoting high standards of literacy, articulacy and the correct use of standard English, whatever the teacher’s specialist subject				
3(d) if teaching early reading, demonstrate a clear understanding of systematic synthetic phonics				
3(e) if teaching early mathematics, demonstrate a clear understanding of appropriate teaching strategies				

4. PLAN AND TEACH WELL STRUCTURED LESSONS				
4(a) impart knowledge and develop understanding through effective use of lesson time				
4(b) promote a love of learning and children's intellectual curiosity				
4(c) set homework and plan other out-of-class activities to consolidate and extend the knowledge & understanding students have acquired				
4(d) reflect systematically on the effectiveness of lessons and approaches to teaching				
4(e) contribute to the design and provision of an engaging curriculum within the relevant subject area(s)				
5. ADAPT TEACHING TO RESPOND TO THE STRENGTHS AND NEEDS OF ALL STUDENTS				
5(a) know when and how to differentiate appropriately, using approaches which enable students to be taught effectively				
5(b) have a secure understanding of how a range of factors can inhibit students' ability to learn, and how best to overcome these				
5(c) demonstrate an awareness of the physical, social and intellectual development of children, and know how to adapt teaching to support students' education at different stages of development				
5(d) have a clear understanding of the needs of all students, including those with SEN; those of high ability; those with EAL; those with disabilities; and be able to use and evaluate distinctive teaching approaches to engage and support them.				
6. MAKE ACCURATE AND PRODUCTIVE USE OF ASSESSMENT				
6(a) know and understand how to assess the relevant subject and curriculum areas, including statutory assessment requirements				
6(b) make use of formative and summative assessment to secure students' progress				
6(c) use relevant data to monitor progress, set targets, and plan subsequent lessons				
6(d) give students regular feedback, both orally and through accurate marking, and encourage students to respond to the feedback				
7. MANAGE BEHAVIOUR EFFECTIVELY TO ENSURE A GOOD SAFE LEARNING ENVIRONMENT				
7(a) have clear rules and routines for behaviour in classrooms, and take responsibility for promoting good and courteous behaviour both in classrooms and				

around the school, in accordance with the school's behaviour policy				
7(b) have high expectations of behaviour, and establish a framework for discipline with a range of strategies, using praise, sanctions and rewards consistently and fairly				
7(c) manage classes effectively, using approaches which are appropriate to pupils' needs in order to involve and motivate them				
7(d) maintain good relationships with pupils, exercise appropriate authority, and act decisively when necessary.				
8. FULFIL WIDER PROFESSIONAL RESPONSIBILITIES				
8(a) make a positive contribution to the wider life and ethos of the school				
8(b) develop effective professional relationships with colleagues, knowing how and when to draw on advice and specialist support				
8(c) deploy support staff effectively				
8(d) take responsibility for improving teaching through appropriate professional development, responding to advice and feedback from colleagues				
8(e) communicate effectively with parents with regard to pupils' achievements and well-being.				