



SHARE
MULTI-ACADEMY TRUST

APPRAISAL POLICY & PROCEDURE

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CONTENTS

Introduction	3
Purpose and scope	3
Confidentiality	3
The appraisal period	3
CEO Appraisal	3
Appointing appraisers – Teaching/Support staff	4
The appraisal process	5
Setting objectives	5
Appraisal criteria	5
Leadership objectives	6
Teacher objectives	6
Support staff objectives	6
Quality assurance	6
Feedback	7
Annual PDP review	7
Continuing professional development (CPD)	8
Making recommendations for pay progression	9
Appeal process	9
Development and support	9
Quality assurance – moderation of appraisal review documentation	10
Related policies and guidance	10



1. Introduction

- 1.1 This policy applies to all employees in the trust (teaching and support staff).
- 1.2 Our belief in “Valuing People, Supporting Personal Best” means we are committed to investing in our staff, to help them be happy at work, to provide the support they need to achieve the highest standards they are capable of and to offer the training or guidance they need to undertake their jobs effectively. We encourage everybody to use a personal development plan, to set their own objectives and to take responsibility for their own improvement priorities. We believe this makes staff feel more valued and supports the aims of the trust.
- 1.3 The information and data from the Trust and School Improvement Plans will help determine objectives used for appraisals. Information and data gathered from appraisals can be used for self-evaluation, workforce planning and planning for training and development needs.

2. Purpose and scope

- 2.1 Appraisal is the process for assessing, through a variety of sources including lesson visits, the overall performance of an employee, within the context of the individual’s role profile and the provisions of the relevant pay and conditions documents, and for formulating plans with regard to the individual’s future career development in the wider context of the trust.
- 2.2 Appraisal is intended to be a supportive and developmental process designed to ensure that all employees have the skills and support they require in order to carry out their role effectively and, in addition, to enable staff to engage in continued professional development in order to improve their personal performance and practice.
- 2.3 The practical purpose of this policy is to ensure that a fair and consistent procedure is applied to all employees, always having regard to the specific nature of their individual employment. This policy sets out the framework for a clear and consistent assessment of the overall performance of each and every employee in our trust, and for supporting their development within the context of the trust’s overall plan for improving educational provision and performance, and the professional standards expected of teachers and support staff.
- 2.4 This policy applies to all staff employed by the trust, except those on contracts of less than one term or those undergoing induction (e.g. ECT’s).

3. Confidentiality

- 3.1 The appraisal process will be treated throughout as a confidential process. It is standard practice that the appraisal reviews will be accessed only by the appraiser and relevant members of the school’s or trust’s leadership teams.



4. The appraisal period


- 4.1 The appraisal cycle will run for twelve months from September to September the following year.
- 4.2 Staff 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 precise format and timing of their appraisal will be determined by the duration of their contract (or probation procedure if this period is nine months or less).
- 4.3 Where an employee starts their employment part-way through an appraisal cycle, the Headteacher (or CEO with regard to appraisal of the Headteacher) will determine the length of the first cycle with a view to bringing into line with other staff in the trust. For existing employees changing posts within the trust, it may on occasion be appropriate to change both the appraiser and the appraisal objectives part way through the cycle.
- 4.4 All pay progression decisions will be made throughout the QA process in the final review meetings in September/October. All evidence should be uploaded to the appraisal portal. If an employee is recruited during the appraisal cycle or has a change to their role during the appraisal cycle they must show a sustained level of performance for at least two terms to justify a recommendation for pay progression.

5. Appointing appraisers – CEO/Headteachers

- 5.1 The CEO will undertake the appraisal for the Headteachers and other Central Team Leaders based within the trust.
- 5.2 The Trust Directors should receive supportive guidance and necessary challenge when appraising the performance of the CEO. Appraisers should consider:
 - assessing the progress the CEO has made towards the previous appraisal objectives set and agreed by the Trust Directors
 - setting suitable objectives for the CEO for the next cycle
 - Determining how the trust appraisal system is contributing to improving the educational experience of pupils at the trust.

6. Appointing appraisers – Teaching/Support staff

- 6.1 The Headteacher will determine suitable appraisers for other staff, which will normally include line managers within curriculum and support staff service areas. The appraiser must have sufficient seniority in responsibility and grade to review the performance of a member of their team. All changes to line management structure should be discussed with the Appraisal policy author to ensure a fair process is followed.
- 6.2 In order to minimise the workload for individuals, the Headteacher may wish to place a limit on the number of staff whom any one person would have to appraise (usually up to 6 staff members).
- 6.3 If, in exceptional circumstances and for professional reasons, the staff member wishes to request a change of appraiser (where this role has been delegated), they may ask



the Headteacher to appoint an alternative appraiser of comparable or higher status in the staffing structure than the original nominated appraiser. Any such request must be made in writing stating the reasons. Should the appraisee request an alternative appraiser he or she should send a written request to the Headteacher for consideration. Where such a request is not accepted, the response from the Headteacher should be explained in writing and kept together with the appraisee's request.

- 6.4 Where the appraisee works for more than one line manager, the nominated appraiser should consult other line managers (in advance of the appraisal meeting) with regard to establishing potential developmental needs to be explored in the next cycle.

7. The appraisal process

- 7.1 Appraisal is a supportive and developmental process which will be used to inform continuing professional development. The trust wishes to encourage a culture in which all staff take responsibility for improving their own individual performance through appropriate professional development. Professional development will in turn be linked both to trust improvement priorities and to the ongoing needs and priorities of individual staff.
- 7.2 Every employee's performance will be formally assessed in respect of each appraisal period.
- 7.3 The trust uses a Performance Management software package via the 'Every' HR portal. The software is available to all staff members through a confidential password protected online system.
- 7.4 We are committed to equality in all appraisal and pay progression decisions. The policy opposes all forms of discrimination. Quality assurance checks will take place across the trust to ensure that the policy is applied fairly. In certain circumstances we may have to adjust the evidence gathering process for staff with disabilities.

8. Setting objectives

- 8.1 The objectives set by staff will be based around a self-reflection process using relevant professional standards. In the case of teaching staff (with the exception of ECT's) this will be the National Teachers' Standards. Headteachers will reflect against the National Standards of Excellence for Headteachers. Support staff will reflect using either the National Support Staff standards or the Educational Support Staff standards, depending on their role in the trust.
- 8.2 The appraiser and appraisee will seek to agree suitable objectives that encourage all staff to contribute to the overall aims of the trust. If that is not possible, the appraiser will determine the objectives. These objectives may be revised (by mutual agreement) should circumstances change significantly. Individual staff should be set approximately 3 objectives. The number of objectives depend upon the job role, responsibilities and hours.



9. Appraisal criteria

- 9.1 The appraisal criteria should indicate how success may be formally evaluated throughout and at the end of the cycle. These measures should provide clarity about the basis on which the appraiser will assess the overall performance of the appraisee with regard to demonstrating progress towards the achievement of set objectives, including quality assurance activities and any other evidence. Such judgements of performance should invariably take into account the appraisee's role profile and career stage expectations e.g. Teachers National Standards Audit. Any other relevant professional standards should also be considered. Where the appraisee is eligible, the appropriate pay progression detailed in the trust pay policy will be considered.

10. Quality Assurance

- 10.1 This trust believes that quality assurance activities of professional practice is important both as a way of assessing the performance of teachers and other relevant staff in order to identify any particular strengths and/or areas for development and of gaining other useful information which can assist improvement more generally.
- 10.2 As per the quality assurance policy, with specific reference to the quality of provision, each academy will operate a programme of reviews. These reviews will be quality assured by a team of colleagues, both internally (Deep Dive Reviews and Follow Up Reviews) and externally (Peer Whole School Reviews). Reviews will generally take place over a number of days and will involve lesson visits, work scrutiny, discussions with pupils, discussions with staff, data/information sharing and a range of identified additional documentation; such as Self Evaluation Forms (SEFs), Theory of Change documents (TOCs) and Improvement Plans (IPs).
- 10.3 In circumstances where staff may not be meeting expectations, a support programme may be recommended. All supportive work will be appropriate to the colleague's individual development needs.
- 10.4 Early Career Teachers (ECTs) and Teach First trainees may choose to add evidence to their 'Every' performance module however they will be assessed via the National Teaching Standards and induction process.

11. Feedback

- 11.1 Staff will receive regular constructive feedback on their performance throughout the year and at their Personal Development Plan (PDP) mid-year review meeting and formally at the end of the appraisal cycle in the final PDP review meeting.

12. Annual PDP review

- 12.1 The start of the formal appraisal cycle begins with a meeting of appraiser and appraisee to complete the appraisal review (usually in September). The appraiser should instigate agreement on a mutually acceptable date and time for a meeting and both appraiser




and appraisee should confirm such arrangements as far in advance as possible with written notification being confirmed and finalised no fewer than 10 working days before the scheduled date. It is anticipated that an hour should be sufficient time for the annual appraisal meeting.

- 12.2 The annual review of past performance and planning of future objectives would normally take place in a single meeting which should constitute a professional dialogue between appraiser and appraisee. Both parties should be expected to play an active part in this meeting in relation to appraisal of current performance and discussion with a view to future development, with both the review of the outcomes of the previous appraisal cycle and the new objectives set for the forthcoming year recorded on the 'Every' performance module.
- 12.3 At the end of the cycle, each appraisee's performance will be formally assessed. This appraisal is the end point to the formal process but performance and development priorities will be considered and addressed on a continuous basis throughout the year in a series of informal meetings and one compulsory mid-year review meeting.
- 12.4 With specific reference to the appraisal meeting the following should take place;
- An assessment of the appraisee's performance against their objectives for the relevant period, using the outcomes of a range of quality assurance activities and any other evidence provided.
 - A RAGG* assessment of the relevant standards.
 - Setting of new objectives for the forthcoming cycle (including the performance criteria and the monitoring and evidence).
 - A determination of the training and development needs and the actions that will be taken to address them e.g NPQ programmes for teacher and leaders.
 - A recommendation on pay progression will be considered based on the evidence provided. In some situations, an appraiser may request additional evidence to be presented before a recommendation can be made. All decisions will be made and recommendations will be in place by 31st October each year (at the very latest, however all Academy's will have their own internal deadline date to support the QA process), in accordance with the School Teachers' Pay and Conditions Document (STPCD).
 - All Pay recommendations are subject to internal school quality assurance and wider trust quality assurance. Final decisions are determined by the Headteachers/Trust Leader and this information is subject to scrutiny by the Trust Directors at a Directors meeting.
- 12.5 In the event of a dispute, staff must follow the appeal process below.

13. Continuing Professional Development (CPD)

- 13.1 All employees have a right to CPD and this can be provided by a number of means: management coaching and support, mentoring, shadowing, attendance on internal and external course(s), secondments etc. CPD priorities may require to be based on the extent to which the trust is currently supported in achieving its priorities.

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- 13.2 Staff should seek the support of their relevant leader within school to facilitate and book CPD events.
 - 13.3 Suitable account will be taken in any review meeting, where provision of the support envisaged (in order to assist employees in fully meeting their objectives), has not proved possible.

14. Making recommendations for pay progression


- 14.1 Where the appraiser is considering a discretionary additional point on the scale (accelerated pay progression) for exceptionally strong performance, cases will be considered on an individual basis but need to demonstrate the scale of impact an individual has had and be supported by relevant evidence.
- 14.2 All pay recommendations must be completed in the final review in September/October. There are no pay recommendations throughout the academic year.
- 14.3 The statutory requirement of a colleague who aspires to be on the UPR, is that they are able to demonstrate and evidence that their contribution to the Academy is substantial and sustained (i.e. over a 2 year period) and that they are highly competent in relation to the Teachers' Standards and the National standards Audit. A teacher electing to progress through the threshold to UPR must demonstrate impact in the preceding year of their application i.e. provide two years' worth of evidence. All evidence should be uploaded onto Every for the line manager to evaluate during the appraisal meeting. A written notification of a UPR threshold request must be made to the Headteacher prior to the appraisal meeting.
- 14.4 To progress through threshold from MPR to UPR or from UPR 1 to 2 or 2 to 3 you must be able to demonstrate and evidence *substantial and sustained* performance in relation to appraisal objectives and overall performance at the UPR range (including your additional roles and responsibilities) for at least two academic years.

15 Appeal Process

- 15.1 An appeal process is in place should any appraisee be not happy with the outcome of their annual appraisal review, or pay progression is not recommended. Where an appraisee wishes to appeal they should state their reasons for appeal in writing to the CEO of the Trust within 10 working days of the final appraisal review. When the staff member is line managed by the CEO the appeal must be sent to the Chair of Directors via the Executive PA to the CEO, Amanda Eastham.

16. Development and support

- 16.1 Appraisal is a developmental process. It is incumbent upon both the appraiser and appraisee to seek to identify any external factors which may be affecting the appraisee's performance. Where concerns are identified with regard to any aspects of a member of



staff's performance the appraiser will meet informally with the appraisee to raise these concerns. Any such meeting will:

- give clear feedback to the staff member about the nature and seriousness of the concerns
- give the staff member full opportunity to comment on and discuss these concerns
- seek strategies and agree any support (e.g. informal support plan, coaching, mentoring, structured observations) that may be provided to help address those specific concerns
- make clear how, and by when, the appraiser/supporting member of staff will review progress (it may be appropriate to revise objectives, and it will be necessary to allow sufficient time for improvement – this will be on a case by case basis and reflect the specific situation)
- explain the implications and process if no (or insufficient) improvement is made within the agreed timescale
- Where performance continues to fall below the expectations and standards an informal support programme may be put in place to improve the performance of the member of staff
- When progress is reviewed, if the appraiser is satisfied that the staff member has made, or is making, sufficient improvement the appraisal process will continue as normal, with any remaining issues being addressed through the appraisal process
- Capability procedures, as set out in the SHARE MAT Capability Policy may be put in place if the performance continues to fall significantly below expectation.

17. Quality assurance – moderation of appraisal review documentation

- 17.1 Senior Leadership/Headteacher has a duty to ensure that the procedures and processes are applied fairly and consistently across the trust and with regard to equal opportunities. The Headteacher/Executive Headteacher will set up procedures for monitoring and moderating the appraisal cycle.
- 17.2 The Headteacher/trust leaders will review all completed appraisal documents at regular intervals during the appraisal cycle and advice will be provided to help complete the appraisal process.
- 17.3 There may be occasions when it is necessary to review (mid-cycle) what has been agreed in the last appraisal meeting (for example relating to prolonged sickness absence, maternity leave or where reasonable adjustments are required under the Equality Act 2010).

Related Policies and Guidance:

Trust Pay Policy

Trust Capability Policy

Standards Tracker PDP Appraisal Guidance

Trust Probation Policy



Teaching and Learning Policy

National Teachers' Standards Audit

SHARE MAT Standards

National Teacher Standards Document

School Teachers Pay and Conditions Document