



APPRAISAL POLICY & PROCEDURE

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Record of Alterations

Version 1.0	Original
Version 2.0	Amendments
Version 3.0	Amendments
Version 3.1	Amendments following director feedback
Version 3.2	Amendments to bring the policy in line with pay policies



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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.
- 1.3 The appraisal process is designed to help us to offer the best care and education possible for pupils attending our academies by:
 - 1.3.1 Providing clarity about each person’s role and how they can contribute to the overall success of the trust;
 - 1.3.2 Ensuring everybody works towards common goals for the benefit of our pupils and in line with the trust’s improvement plan;
 - 1.3.3 Promoting ways of increasing job satisfaction;
 - 1.3.4 Encouraging all our employees to adopt positive attitudes towards improving their performance and collecting evidence to measure their success;
 - 1.3.5 Helping leaders to recognise and reward strong performance;
 - 1.3.6 Identifying ways of supporting our colleagues to improve, through training, coaching and other professional development activities;
 - 1.3.7 Identifying where colleagues may need additional support to achieve an acceptable level of performance.
- 1.4 We expect staff to want to achieve their personal best and to seek to improve continuously. Everybody should record their goals and progress in a personal development plan.
- 1.5 The information and data from the School Improvement Plan, which will be based on the Trust Improvement Plan, will 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 This policy ensures that decisions relating to employees pay progression will, at all times, be made and evidenced with specific reference to achievement against objectives and assessment of overall performance by the appraising manager.
- 2.2 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.
- 2.3 Appraisal is intended 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.

- 2.4 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.
- 2.5 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. NQTs).

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 Standards Tracker. If an employee This needs deleting- 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.

Removed and inserted into Teacher Pay Policy

5. CEO Appraisal

- 5.1 The Board of Directors will appoint a committee to agree objectives for the CEO and to review his/her overall performance. The committee should normally consist of three members and should not be fewer than two.



- 5.2 The committee will set the CEO strategic goals, in line with the board's priorities for the year ahead.
- 5.3 Directors may, if they choose, use suitably qualified consultants to guide them in setting objectives or reviewing performance.
- 5.4 Where possible, the CEO's objectives will be set in the early part of the academic year, so targets can be cascaded into other employees' objectives.
- 5.5 The CEO's progress should be reviewed during the course of the academic year (an interim review), as well as at the end of the cycle.

6. Appointing appraisers – CEO/Headteachers

- 6.1 The CEO will undertake the appraisal for the Headteachers/Executive Headteachers and other Central Team Leaders based within the trust.
- 6.2 Other central team staff will be appointed appraisers by senior trust leaders.
- 6.3 Headteachers and Executive Headteachers will appoint appraisers for staff within each school.

7. Appointing appraisers – teaching/support staff

- 7.1 The Headteacher/Executive 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.
- 7.2 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).
- 7.3 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.
- 7.4 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.

8. The appraisal process

- 8.1 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.

- 8.2 Every employee's performance will be formally assessed in respect of each appraisal period.
- 8.3 The trust uses a Performance Management software package – Standards Tracker, to evaluate individual and group performance. The software is available to all staff members through a confidential password protected online system to support personal development.
- 8.4 We are committed to equality in all appraisal and pay progression decisions. SHARE MAT opposes all forms of discrimination and this must be reflected in our actions under this policy. We are positive about people with protected Quality assurance checks will take place across the trust to ensure that the policy is applied fairly. We will always make reasonable adjustments to support an employee with a protected characteristic.

9. Setting objectives

- 9.1 The objectives set by staff will be based around the SHARE MAT standards. In the case of teaching staff (with the exception of NQTs) the National Teachers' Standards and Audit are applied alongside the 12 SHARE MAT Standards. The appraiser and appraisee will seek to agree suitable objectives but, 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 up to 3 objectives. The number of objectives depend upon the job role, responsibilities and hours.
- 9.2 Ideally the specific objectives set will, when (or if) achieved, contribute to the School Improvement Plan for improving teaching and learning, and enhancing the overall experience of pupils at the school. These will be evidenced on Standards Tracker.

10. Appraisal criteria

- 10.1 The appraisal criteria should indicate how success may be formally evaluated throughout and at the end of the cycle via Standards Tracker. 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.



11. Leadership objectives

- 11.1 The CEO will agree objectives with the Headteacher/Executive Headteacher which will be set at the start of each appraisal period. Relevant leadership standards, such as the National Standards for Headteachers, will be used to assess performance.
- 11.2 The Headteacher will agree objectives with the Senior Leadership Team which will be set either before, or as soon as practicable after, the start of each appraisal period. Relevant leadership standards will be used to assess performance.

12. Teacher objectives


- 12.1 The objectives set by teachers will be based around the SHARE MAT 12 Standards, National standards Audit and the National Teachers' Standards. Objectives for each teacher will be set on Standards Tracker before, or as soon as practicable after, the start of each appraisal period.

13. Support staff objectives

- 13.1 Objectives for other staff within the trust should reflect the SHARE MAT standards for specific groups. These are the SHARE MAT Teaching Assistant Standards, the SHARE MAT Wider Support Staff Standards and the SHARE MAT Pastoral Standards. Where national occupational standards exist (eg to support teaching and learning in the classroom) these should be adapted to suit individual requirements and help to raise performance and have a positive impact on pupils.

14. Quality Assurance

- 14.1 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.
- 14.2 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 Department Development Plans (DDPs) and Self Evaluation Forms (SEFs).
- 14.3 In circumstances where staff may not be meeting the required SHARE MAT Standard(s) a support programme may be recommended. All supportive work will be appropriate to the colleague's individual development needs.
- 14.4 All quality assurance activities will be monitored and recorded on Standards Tracker.

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- 14.5 Newly Qualified Teachers (NQT's) may choose to build evidence on Standards tracker however they will be assessed via the National Teaching Standards and Induction protocol.

15. Feedback

- 15.1 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.
- 15.2 All quality assurance outcomes are detailed on Standards Tracker. Feedback will be given to staff as soon as practicable, ideally on the day (and no later than 5 working days).
- 15.3 Feedback (both written and verbal) should highlight particular areas of strength as well as any areas that may need attention via Standards Tracker.

16. Annual PDP review

- 16.1 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.
- 16.2 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 fresh objectives set for the forthcoming year recorded on Standards Tracker.
- 16.3 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.
- 16.4 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.
 - An analysis of the impact of their practice/teaching on the progress and outcomes of students.

- In relation to teachers and leaders, a review of their wider contribution via the National Standards Audit.
- A RAGG* assessment of the SHARE MAT Standards.
- Setting of new objectives for the forthcoming cycle (including milestones and key performance indicators).
- A determination of the training and development needs and the actions that will be taken to address them (teachers are expected to sign up to two internal additional SHARE MAT CPD sessions throughout the year)
- 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 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/Executive Headteacher/Trust Leader and this information is subject to scrutiny by the Trust Directors at a Directors meeting.
- All information will be recorded and available throughout the cycle on Standards Tracker.

16.5 In the event of a dispute, staff must follow the appeal process below.

17. Continuing Professional Development (CPD)

- 17.1 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.
- 17.2 Any documentation recording details of support and development agreed at any point within the cycle should be recorded on Standards Tracker. Staff should seek the support of their relevant leader within school to facilitate and book CPD events.
- 17.3 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.

18. Making recommendations for pay progression

- 18.1 Please refer to the relevant pay policy
- 18.2 DELETE REST OF 18.....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.



- 18.3 All pay recommendations must be completed in the final review in September/October. There are no pay recommendations throughout the academic year.
- 18.4 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 Standards Tracker 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.
- 18.5 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.

19 Appeal Process

- 19.1 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 Jayne Newson.

20. Development and support

- 20.1 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 set out in the SHARE 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

21. Quality assurance – moderation of appraisal review documentation

- 21.1 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 via Standards Tracker.
- 21.2 The Headteacher or nominated senior manager will review all completed appraisal documents at regular intervals during the appraisal cycle and advice will be provided to help complete the appraisal process.
- 21.3 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 Policy and Guidance:

Support Staff Pay Policy

Teacher Pay Policy

The Scheme of Delegation

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