

Manor Hall Academy Trust



Appraisal Policy & Procedure for Teachers and Support Staff

The Directors of the trust, in line with the Scheme of Delegation and Articles of Association have overall responsibility for the effective operation of MAT policies, but has delegated day to day responsibility to the Headteacher and LAB.

Directors will take account of recommendations from individual schools in review of this policy and seek HR advice as to such revisions. Responsibility for monitoring and reviewing this policy lies with the Trust. A review of this policy and recommendations for change should be presented to the Directors of the trust for verifications.

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1. Introduction

- 1.1 Appraisal arrangements for Teachers are set out in the Education (School Teachers' Appraisal) (England) Regulations 2012 (the Appraisal Regulations).
- 1.2 The Appraisal Regulations set out the principles that apply to teachers and all maintained schools and unattached teachers employed by a local authority, in each case where they are employed for one term or more.
- 1.3 It is also good practice for academies to follow the appraisal regulations although they are not legally required to do so." The Academy Trust/ Academies Financial Handbook 2021, 1.1.2, pg. 13, requires that Trustees hold executive leaders to account for.... the performance management of staff. It is good practice Academies must have an appraisal policy for staff.
- 1.4 This Policy has been designed for use with all employees including (executive) headteachers, those in leadership posts, teachers, non-teaching and support staff (including central team staff).
- 1.5 As it applies to Teachers and Headteachers, this policy is in line with the provisions of the School Teachers Pay and Conditions Document [STPCD], statutory requirements, the National Standards of Excellence for Headteachers and the Teachers Standards. The Headteacher Standards are non-statutory and are intended as guidance to be interpreted in the context of each individual Headteacher and school.
- 1.6 This procedure/policy does not form part of any employee's contract of employment and it may be amended by the Manor Hall Academy Trust at any time, following consultation with recognised Trade unions.

2. Policy for appraising employee performance

2.1 The Manor Hall Academy Trust adopted this policy on 7 April 2022. It has been the subject of consultation with recognised Trade Unions. The policy will be reviewed annually.

3. Policy

3.1 This policy sets out the framework for a clear and consistent assessment of the overall performance of teachers, including the Headteacher, non-teaching and support staff employed by the Academy Trust. The appraisal procedure may also be used to address and manage relevant areas for improvement raised about an employee's performance which are not concerns serious enough to require a Performance Improvement process.

3.2 The policy is also the framework for supporting staff development within the context of the Trust's plan for improving educational provision and performance, and the standards expected of staff. Through the appraisal process the Trust seeks to improve outcomes for children/students by improving morale, encourage staff to update skills and encouraging professional dialogue. This policy will be operated separately to the Performance Improvement Policy, which can be found on Parago, where this is relevant.

4. Application of the Policy

4.1 This policy applies to the Headteacher and to all teachers employed by the Trust, except those on contracts of less than one term, those undergoing induction (i.e. ECTs) and those who are subject to the Performance Improvement Policy/ Procedure.

4.2 The policy will also be used with non-teaching and support staff so that a consistent approach in the management of staff is effective across the whole organisation. The CEO/ Headteacher/ Principal will consider whether it is appropriate to use the appraisal policy for other temporary staff or those subject to probationary period arrangements.

5. Appraisal

Appraisal will be a supportive and developmental process designed to ensure that all staff have the skills and support they need to carry out their role effectively. It will help to ensure that teachers and other staff are able to continue to improve their professional practice and to develop.

5.1 The appraisal period

5.1.1 For teaching staff, the appraisal period will run for twelve months to 31st October and for support staff and the central team it will run from 1st January to 31st December. Therefore appraisals for;

- i. teaching staff, including Heads, must be carried out in Autumn 1 (before October half term).
- ii. Support staff, must be carried out in Spring 1 (before Feb half term).

5.1.2 Employees 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 period will be determined by the duration of their contract.

5.1.3 The Trust will work with the member of staff to determine the relevant appraisal period when employment begins or ends during the normal appraisal period and will bring the cycle in line

with others as soon as possible, although no member of staff should be unfairly prevented from progressing solely due to length of service.

5.2 Appointing appraisers

5.2.1 The Headteacher/ principal will be appraised (including objective setting) by a suitably skilled / experienced external advisor appointed by the CEO and representatives from the Local Academy Board (usually the Chair or delegated LAB member), supported by a suitably skilled and/or experienced external adviser who has been appointed by the Academy Trust for that purpose. The CEO will be appraised by the chair of the board.

5.2.2 The Headteacher/ principal, after consultation, will decide who will appraise other teachers and support staff. Appraisers will be suitably skilled, trained and qualified to undertake the role. Appraisers will normally have line management responsibility for the appraisee and will be responsible for managing all aspects of the appraisal. All appraisers of teachers other than headteachers will have appropriate, relevant and current teaching experience. All appraisers of teachers should have Qualified Teacher Status and the appraiser will receive sufficient and appropriate training before undertaking the role. The appraiser should have equivalent or greater level of responsibility than the employee they are appraising, and normally have line management responsibility.

5.2.3 Where an employee is of the opinion that their appraiser is unsuitable for professional reasons, they may submit a written request to the Headteacher/ principal (or the CEO in the case of the Headteacher/ principal) for an alternative appraiser, stating the reasons for the request. The request will be considered but ultimately it is for the relevant decision maker to make the decision.

5.2.4 Where possible, alternative appraisers will be offered where there is a genuine and valid reason, or the appointed appraiser is not available due to long term sickness. This will be confirmed with the appraisee at the beginning of the process. Wherever practicable, an appraiser should ONLY have a maximum of four appraisees.

5.2.5 Sufficient time, within directed hours, but excluding PPA time, should be provided to enable the appraiser and appraisee to fulfil their obligations with regard to the appraisal process. The operation of the appraisal policy and process has been workload impact assessed to ensure that it does not add to the workload of anyone involved. This includes a specific workload impact assessment of the provisions for part-time teachers, to ensure that the demands placed on part-time teachers are proportionate and consistent with their part-time status.

5.3 Setting objectives

5.3.1 The (executive) Headteacher's objectives will be set by external advisor in consultation with the CEO. Objectives for each employee will be set before, or as soon as practicable after, the start of each appraisal period. The objectives set for each employee will, if achieved, contribute to the school/Trust's plans for improving educational provision and performance and improving the education of pupils. This will be ensured by quality assuring all objectives against the school improvement plan.

5.3.2 The objectives set for every employee will, if achieved, contribute to the Trusts' plans for improving the education provision, performance and improving the education of pupils.

5.3.3 When setting objectives, the following principles will be used:

- i. Objectives which are Specific, Measurable, Achievable, Realistic and Time-bound (SMART).
- ii. Objectives which are relevant, realistic and reasonable for the role, responsibility and experience of the post holder and in the context of the Trusts' wider HR policies.
- iii. The number and type of objectives will be relevant to leadership/management resource of the whole school development plan, pupil progress objectives and contribute to professional development.
- iv. No staff member will be given more than three agreed objectives or additional sub-objectives. Setting more than four agreed objectives may cause increased workload and in most cases would be inconsistent with the Trust's strategy for achieving work/life balance for all staff.
- v. Objectives themselves should not be based purely on numerical targets and success should not be determined by meeting these. Note that performance management discussions will not be based on teacher generated data and predictions, and pay progression for teachers will not be dependent on the assessment data for a single group of pupils (as per the DfE guidance following the Making Data Work report)
- vi. Objectives should be agreed between the appraiser and appraisee but, where this is not possible, determined by the appraiser. Where agreement cannot be reached, the Headteacher/ Principal will make a determination (or CEO, where this is appropriate) following discussion with both parties. The appraisee may add comments to the plan.
- vii. The appraiser will take into account the effects of an individual's circumstances, including any disability or the need to take statutory leave, 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.
- viii. Objectives will be quality assured and moderated by the Headteacher or nominated performance management lead.

5.3.4 Before, or as soon as practicable after, the start of each appraisal period, each employee will be informed of the standards against which their performance in that appraisal period will be assessed. For teaching staff, the Teacher's Standards will be used to inform objective setting, for support staff their relevant industry standards will be used.

The agreed objectives will contain a description of what success may look like, will be fully related to the circumstances in which the employee works and any factors outside the employee's control which may significantly affect success will be recognised.

The relevant standards for teachers are the set of standards contained in "The Teachers' Standards" as varied from time to time. Other professional standards and legislative/ other requirements (e.g. Health and Safety) may apply to different roles.

5.4 Reviewing performance

5.4.1 Observation: Teachers

Observation of classroom practice and other responsibilities is important both as a way of assessing teachers' performance in order to identify any particular strengths or areas for development they may have and of gaining useful information which can inform school improvement more generally.

Observation arrangements will be based on the following principles:

- i. The numbers and types of observations will appropriate to the individual circumstances of the teacher and needs of the school, but in all cases will not be excessive.
- ii. Classroom observation for teachers will be carried out by those with QTS, in a supportive fashion, with professional integrity, courtesy and taking account of any potential circumstances on the day.
- iii. For formal planned observation, 5 working days' notice will be given of time and date.
- iv. 'Drop ins', for example learning walks, will form part of the formal appraisal evidence.
- v. Verbal feedback should be given very shortly after observation with written feedback of the formal observation within 5 working days.
- vi. Formal responsibilities of the post holder outside of the classroom will also be assessed as part of the appraisal process.
- vii. Overall the number of observations of a teacher will be appropriate and reasonable taking account of the wellbeing and other circumstances of the teacher and the overall needs and resources of the school. Observations may be used for multiple purposes, by agreement, in order to minimise the number of observations being carried out. This should not, in most cases, exceed 3 hours' observation per cycle (adjusted appropriately for the teacher's working patterns).
- viii. These principles are supplemented by a specific observation protocol (Appendix 2).

5.4.2 Observation: Other Staff

Appropriate mechanisms will be used to review performance for non-teaching staff. The overall approach will include the principles set out above but will need to be relevant to the role. Performance review may include:

- i. Review of produced work
- ii. Classroom observations for classroom support staff
- iii. Observation in meetings or service delivery
- iv. Peer Review of classroom support staff
- v. Discussion and other feedback

5.4.3 Reviewing other supporting information

Other information useful for reviewing performance may include:

- i. Lesson plans
- ii Work sampling
- iii. Pupil progress information
- iv. Pupil progress meetings
- v. Pupil/parental discussion and feedback
- vi. Pupil behaviour management

Evidence gathering should be proportionate and should make use of existing data sources that are readily available from day to day practice, wherever possible. The evidence required must relate directly to objectives.

5.4.4 Development and support

Appraisal is a supportive process which will also be used to inform continuing professional and general development. It is important to encourage a culture in which all employees take responsibility for improving their performance and appropriate professional development. Professional

development will be linked to improvement priorities and to the ongoing professional development needs and priorities of individual teachers and other members of staff.

The Trust's CPD Plan will be informed by the training and development needs identified in appraisees' planning and review statements. In planning and providing budget and resources for staff development the Trust will take account of:

- i. The training and support required to meet school/ Trust priorities
- ii. The support agreed as essential for an appraisee to meet their objectives
- iii. The future aspirations of all staff
- iv. Fair and equal access to development

An account of the support and development needs of staff in general, including the instances where it did not prove possible to provide any of the agreed CPD and the reasons for this not being provided, will form a part of the annual report to the LAB/Directors / Trust regarding the operation of the appraisal process.

5.4.5 Feedback

Employees will receive constructive feedback on their performance throughout the year and as soon as practicable after observation has taken place or other evidence has been assimilated. Feedback will highlight particular areas of strength as well as any areas that need attention.

The appraisal meeting should hold no surprises for any member of staff as any concerns over performance should have been raised during the appraisal cycle. The appraiser will give consideration, as with the setting of objectives, to any circumstances or health issues which may have impacted on performance. Where any aspects of the employee's performance (as opposed to points for development) are of concern, the appraiser will meet the employee as soon as possible to:

- Give clear feedback about the nature and seriousness of the concerns;
- Give the employee the opportunity to comment and discuss the concerns;
- Re-confirm the requirements to be met (including reviewing set objectives to ensure they are achievable)
- Agree any support (e.g. coaching, mentoring, training, structured observations), that will be provided to help address those specific concerns;
- Make clear how, and by when, the appraiser will review progress, allowing an appropriate period of time to address the issues raised;
- Explain the implications and process if no – or insufficient – improvement is made
- The appraisee should receive – and be able to comment in writing upon – a written note of the meeting.

When progress is reviewed, if the appraiser is satisfied that the employee has made, or is making, sufficient progress, the appraisal process will continue as normal, with any remaining issues continuing to be addressed through that process.

5.4.6 Where concerns continue

Employees should not be held accountable for failing to make good progress towards meeting their objectives where the CPD or support recorded in the planning statement as being required to make

progress has not been provided.

No member of staff should be subject to formal Performance Improvement policy procedures without understanding in full that this is the case, the reasons for this process being initiated, and the possible outcomes should the process not result in the necessary improvements.

If, however, despite support and opportunities to improve, the appraiser continues to have serious concerns that inadequate improvement/progress has been made, the appraiser will consider in consultation with the Headteacher as appropriate, whether the Performance Improvement procedure should be used. Should this be the case the employee will be invited in writing to a meeting under the Trust's Performance Improvement Policy.

At all stages of the appraisal and Performance Improvement procedures employees are able to seek advice and guidance from their Trade Union representatives or other forms of support.

Where appropriate improvement is achieved under this separate policy and any performance improvement process ceases, the employee's performance and development will be managed again in accordance with the Appraisal policy.

6. Annual Assessment

6.1 Each employee's performance will be formally assessed in respect of each appraisal period. In assessing the performance of the Headteacher, the Trust must consult the external adviser.

6.2 This assessment is the end point to the annual appraisal process, but performance and development priorities will be reviewed and addressed on a regular basis throughout the year in interim meetings which will take place at specified intervals

6.3 The employee will receive, as soon as practicable following the end of each appraisal period – and have the opportunity to comment in writing on - a written appraisal report. The appraisal report will include:

- details of the employee's objectives for the appraisal period in question;
- an assessment of the employee's performance of their role and responsibilities against their objectives and the relevant standards;
- an assessment of the employee's training and development needs and identification of any action that should be taken to address them;
- other items specified by the school/ Trust;
- a space for the appraisee's own comments.

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

6.5 An account of the support and development needs of staff, in general, including the instances where it did not prove possible to provide any the agreed CPD and the reasons for this not being provided, will form a part of the Headteacher/ principal's annual report about the operation of the appraisal process.

6.6 A short, written summary of the appraisal discussions held; objectives set and an assessment of the performance of their role against these, should also be provided to non-teaching staff. This should include a space for the appraisee's own comments and an assessment of the employees training and development needs and any actions required to address these.

7. Pay Progression

- 7.1** The head teacher/ principal will make recommendations regarding pay in line with the MHAT Pay Policy (available on Parago) and based on the statutory criteria and guidance set out in the STPCD and the relevant teacher standards. The process must be fair and equitable. Where the appraisal objectives have not been met as defined in the Appraisal Policy, there should be no recommendation to progress pay. If a teacher is unlikely to meet their objectives, this should be discussed with them in a timely manner and well in advance of the final appraisal meeting and this should also be met with providing support to enable the teacher to meet those objectives.
- 7.2** Performance cycles end on 31st October for teachers and 31st December for headteachers/ principals. Performance cycles for support staff end 31st March.
- 7.3** The Academy Trust commits to adhering to the School Teachers' Pay and Conditions Document (STPCD), which includes the requirement to ensure that all pay progression for teachers is linked to performance management. The Trust will ensure that teachers are not penalised during the appraisal process or in respect of any subsequent pay progression decisions as a result of the decision to restrict pupil attendance at schools, such as where this has had an impact on the ability of the teacher to meet fully their objectives.
- 7.4** Support staff will receive an annual appraisal in line with the Appraisal Policy however there should be no link between performance and pay progression as incremental progression is based on time in post including the maximum spine within each grade.
- 7.6** External advisors will make recommendations on Headteachers pay to the Local Advisory Board and this will then be approved by the CEO of the Trust.

8. Appeal

- 8.1** The appraisee may appeal against the Appraisal Report by appealing to the Headteacher or the governing body (where Headteacher has been the appraiser) within 10 working days, setting out the reasons for appeal and requesting a meeting to discuss their concerns. The meeting will be held in line with the Formal Meeting Procedure. They may be accompanied by a trade union representative/official or colleague. The Employee will be informed in writing of the outcome of the appeal as soon as possible following the meeting, but at the latest within 5 working days of the appeal meeting.
- 8.2** Where the Headteacher/ principal has not been recommended for pay progression they will be informed by the appropriate LAB members. The Headteacher/ principal will notify any teacher who has not been recommended for pay progression. The Headteacher/employee may exercise the right of appeal to the LAB following its decision on pay, as above, assisted by a trade union representative/official or colleague. Headteachers may appeal through the CEO.

Appendix 1 General principles underlying this Policy

This Policy should be read in conjunction with other HR Policies adopted by the Academy Trust.

Confidentiality

The appraisal processes will be treated with confidentiality. Access to appraisal records will generally be restricted to Appraiser/Appraisee and line manager (where different). However, the desire for confidentiality does not override the need for the Headteacher/ principal and relevant body to quality-assure the operation and effectiveness of the appraisal system. The Headteacher/principal or appropriate colleague might review all teachers' objectives and written appraisal records personally, in order to check consistency of approach and expectation between different appraisers.

Consistency of Treatment and Fairness

The Academy Trust is committed to ensuring consistency of treatment and fairness and will abide by all relevant equality legislation.

Definitions

Unless indicated otherwise, all references to "teacher" also include the Headteacher/ principal. Where the term 'working days' is used, it is intended to indicate days on which schools are open, and staff are expected to attend; therefore, it includes inset days but specifically excludes periods of school closure.

Delegation

Normal rules apply in respect of the delegation of functions and the Academy Trust scheme of delegation for HR functions can be requested through the Central Team SLT.

Equality

When implementing the Appraisal Policy, no employee will be disadvantaged on the basis of their gender or transgender, marital status or civil partnership, racial group, religion or belief, sexual orientation, age, disability, pregnancy or maternity, social or economic status or caring responsibility. This means that the process may need to be adjusted to cater for the specific needs of an individual including the provision of information in alternative formats where necessary

Monitoring and Evaluation

The Trust and Local Academy Boards will monitor the operation and effectiveness of the Appraisal arrangements.

The Headteacher will provide the LAB with a written report and the CEO will provide the Board of directors with a consolidated report on the operation of the Appraisal policy annually. The report will not identify any individual by name.

The Headteacher/principal/CEO will report on whether there have been any appeals or representations on an individual or collective basis on the grounds of alleged discrimination.

Retention

The Trust and head teacher/ principal will ensure that all written appraisal records are retained and stored in a secure place in line with the Academy Trust's Retention and Disposal Policy. The appraisee should retain their own copies.

Training and Support

The Trust's CPD programme will be informed by the training and development needs identified during the appraisal process.

The Trust will ensure, as far as possible, appropriate resources are made available in the budget for any training and support agreed for appraisees. An account of the training and development needs of staff in general, including the instances where it did not prove possible to provide any agreed CPD, will form a part of the Headteacher's/ CEO's annual report to the LAB/ Directors and Trustees about the operation of appraisal policy.

With regard to the provision of CPD in the case of competing demands on the budget, a decision on relative priority will be taken with regard to the extent to which: (a) the identified CPD training and support is deemed as essential to the school/ Trust meeting its priorities and (b) the CPD identified as essential for the appraisee to meet their objectives. The school's/ Trusts' priorities will have precedence. Staff should not be held accountable for failing to make good progress towards meeting their performance criteria where the support recorded in the appraisal report has not been provided

Appendix 2 - Classroom Observation Protocol for Appraisal Purposes

The 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 respect;
- evaluate objectively;
- report accurately and fairly, in a timely manner;
- 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, ensuring the time is proportionate to the individual circumstances and needs of the teacher. There is no requirement to use all of the three hours.

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

1. Prior to the appraisal observation the context of the observation will be confirmed between the appraiser and appraisee and included in the planning and review statement, which will detail:
 - a. the amount of observation
 - b. its primary purpose
 - c. any particular aspects of the teacher's performance which will be assessed
 - d. the duration of the observation
 - e. when during the appraisal cycle the observation will take place, and
 - f. who will conduct the observation?
2. Where evidence emerges about the appraisee's teaching performance which gives rise to concern during the cycle, additional classroom observations may be agreed, subject to a revision meeting being held.
3. Information gathered during the observation will be used, as appropriate, for a variety of purposes. These include informing self-evaluation and school improvement strategies in accordance with the Trust's commitment to streamlining data collection, minimising bureaucracy and workload burdens on staff.
4. In keeping with the commitment to supportive and developmental classroom observation, those being observed will be notified in advance of the date and time of the observation, with at least 5 working days' notice of the appraisal observation.
5. Classroom observations will only be undertaken by persons with QTS. In addition, in this 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.
6. Verbal 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.
7. 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.

8. The written record of feedback should include 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.

