



**South Manchester  
Learning Trust**

**TRUST WIDE POLICY  
STAFF APPRAISAL POLICY**

**Date of Board Approval: 20 February 2019**

## Contents

<b>Section</b>	<b>Page</b>
<b>Purpose</b>	<b>1</b>
<b>Application of the Policy</b>	<b>1</b>
<b>Appraisal</b>	<b>2</b>
• <b>Appraisal Period</b>	
• <b>Appointment of Appraisers</b>	
• <b>Setting Objectives</b>	
<b>Reviewing performance</b>	<b>3</b>
• <b>Observation of teachers</b>	
• <b>Development and Support</b>	
• <b>Feedback</b>	
<b>Transition to Capability</b>	<b>5</b>
<b>Annual Assessment</b>	<b>6</b>
<b>Appeals</b>	<b>6</b>
<b>Monitoring and Evaluation</b>	<b>7</b>
<b>Retention</b>	<b>7</b>
<b>Table of Appendices</b>	<b>8</b>

## **Purpose**

This policy sets out the framework for a clear and consistent assessment of the overall performance of all staff, including the Headteacher, and for supporting their development within the context of the Academy's plan for improving educational provision and performance, and the standards expected of staff.

The appraisal procedure will be used also to address any concerns that are raised about a teacher's performance. If concerns are such that they cannot be resolved through the appraisal process, there will be consideration of whether to commence the capability procedure.

Arising from the implementation of the School Teachers Pay and Conditions Document 2013, a direct link is made between pay progression and performance for teachers, whereby the assessments drawn from performance outcomes will have a direct bearing on pay progression. In this regard the Academy's Pay Policy will articulate how the performance recommendations that arise from this policy will be implemented in pay terms.

## **Application of the policy**

This policy applies to the CEO/ Headteachers and to all staff employed by the schools, except those on contracts of less than one term, those undergoing induction (*i.e.* NQTs) and those who are subject to formal capability proceedings.

The Trust Board regularly review all the policies and procedures they recommend to ensure there are no negative equality impacts. If you need to access this policy in a different format, you can do this by contacting your schools HR Manager.

The CEO and Headteachers of Schools will moderate objectives, performance assessment and pay recommendations in order to ensure consistency and fairness.

## **Appraisal**

Appraisal in this school 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 staff, through the support offered, are able to continue to improve their professional practice. For teachers, it will ensure that their pay progresses appropriately in recognition of their performance.

### **The appraisal period**

The appraisal period for all teaching staff will run for twelve months from 1<sup>st</sup> October to 30<sup>th</sup> September. The appraisal period *for* all other staff will be from the 1<sup>st</sup> January to 31<sup>st</sup> December.

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 length of the period will be determined by the duration of their contract.

Where a member of staff starts their employment at the school, or a member of staff transfers to a new post within the school part-way through a cycle the Headteacher or, in the case where the employee is the Headteacher, the Governing Body shall determine the length of the first cycle for that member of staff, with a view to bringing his/her cycle into line with the cycle for the other staff members as soon as possible.

### **Appointment of appraisers**

The CEO will be appraised by a panel of the Trustees. The CFO will be appraised by the CEO, supported by the Headteacher of their 'home' school. The Directors of English and Maths will be appraised by the CEO, supported by the Headteacher of their 'home' school.

The Headteachers will be appraised by the CEO, supported by the Chair of the Local Governing Body.

The Headteacher will decide who will appraise all other staff. The appraiser will usually be the line manager. All appraisers of teachers, other than those appraising Headteachers, will be qualified and currently practising teachers.

### **Setting objectives**

The Headteacher's objectives will be set by the CEO, after consultation with the Chair of the Local Governing Body.

Objectives for each member of staff will be set before, or as soon as practicable after, the start of each appraisal period. The objectives set for each member of staff, will be Specific, Measurable, Achievable, Realistic and Time-bound (SMART) and will be appropriate to the staff member's role and level of experience.

In setting the objectives, the appraiser will have regard to what can reasonably be expected in the context of roles, responsibilities and experience, consistent with the school's strategy for achieving its development plan. Appraisees may at any point append their comments alongside their objectives.

The appraiser and appraisee will seek to agree the objectives. Objectives may be revised if circumstances change. The school operates a system of moderation to ensure that all appraisers are working to the same standards. Targets will be moderated across the school and across Trust schools to ensure that they are consistent between staff members with similar experience and levels of responsibility. Should the objectives not be agreed, the final decision on allocation of objectives rests with the Headteacher.

The agreed objectives will contain a description of what success may look like. Where use of numerical targets is appropriate, these will be reasonable, in the circumstances in which the staff member works and it will be recognised that factors outside the staff members control may significantly affect success.

Under normal circumstances, staff will have a maximum of four objectives. However, teachers who are found to not be meeting standards during the appraisal cycle may be given short term objectives to meet as part a support programme.

The objectives set for each staff member, particularly teaching staff, are intended to contribute to the Academy's plans for improving educational provision and performance and improving the education of pupils at that school, and will take into account the professional aspirations of the staff member.

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

Before, or as soon as practicable after, the start of each appraisal period, each member of staff will be informed of the standards against which that member of staff's performance in that appraisal period will be assessed. With specific regard to teachers, all teachers should be assessed against the set of standards contained in the document called "Teachers' Standards" effective for September 2012. The Headteacher or sub committee of the Governing Body (as appropriate) will need to consider whether certain teachers should also be assessed against other sets of standards published by the Secretary of State that are relevant to them.

Objectives for Support Staff will be derived in the main from the job description and person specification for the role and will also link to the member of staff's contribution to the School Development Plan.

## **Reviewing performance**

### **Observation of Teachers**

This Academy believes that observation of classroom practice and other responsibilities is important both as a way of assessing teachers' performance in order to identify any particular strengths and areas for development they may have and of gaining useful information which can inform school improvement more generally. All observation will be carried out in a supportive fashion, with professionalism, integrity and courtesy, will be evaluated objectively and reported accurately and fairly and will take account of particular circumstances which may affect performance on the day.

Reasonable prior notice of the date and time of the observation will be given.

Classroom observation will be carried out by qualified teachers.

For the purposes of appraisal, teachers' performance will be observed on an appropriate and reasonable number of occasions and will, as far as possible, be agreed by the appraiser with the appraisee based on the individual circumstances of the teacher and the overall needs of the school, including provision for exceptional circumstances where concerns have been raised about a teacher's performance, or where the teacher requests additional observation visits.

Headteachers or other leaders with responsibility for learning and teaching standards may "drop in" or undertake other observations to evaluate the standards of teaching and learning and to ensure that high standards of professional performance are established and maintained. The length and frequency of "drop in" or other observations, and the notice to be given, will vary depending on specific circumstances.

For the purpose of professional development, feedback about lesson observations should be developmental, not simply a judgement using Ofsted grades.

This school will use the findings of each observation for other management requirements (for example subject area reviews), thereby seeking to minimise the total number of occasions on which teachers are observed.

Teachers (including the Headteacher) whose posts have responsibilities outside the classroom should also expect to have their performance of those responsibilities observed and assessed.

### **Development and support**

Appraisal is a supportive process which will be used to inform continuing professional development. The Academy wishes to encourage a culture in which all staff take responsibility for improving their performance through appropriate professional development. Professional development will be linked to the Academy improvement priorities and to the ongoing professional development needs and priorities of individual members of staff.

The Academy's CPD programme will be informed by the training and development needs identified as part of the appraisal process. The Governing Body will ensure in the budget planning that, as far as possible, resources are made available in the school budget for appropriate training, and support agreed for appraisees, maintaining access on an equitable basis.

An account of the training and development needs of teachers including the instances where it did not prove possible to provide any agreed CPD, will form a part of the Headteacher's annual report to the Governing Body about the operation of the appraisal process in the school.

With regard to the provision of CPD in the case of competing demands on the school budget, a decision on relative priority will be taken with regard to the extent to which:

- the training and support will help the school to achieve its priorities; and
- the CPD identified will contribute to an appraisee meeting their objectives.

### **Feedback**

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

Where there are concerns about any aspects of the staff member's performance the appraiser will meet the member of staff formally to:

- give clear feedback to the member of staff about the nature and seriousness of the concerns;
- give the member of staff the opportunity to comment 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 by when, the appraiser will review progress. It may be appropriate to revise objectives, and it will be necessary to allow sufficient time for improvement. The amount of time should reflect the seriousness of the concerns;
- explain the implications and process if no, or insufficient, improvement is made.

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

### **Transition to capability**

When dealing with a member of staff experiencing difficulties, the objective is to provide support and guidance through the appraisal process in such a way that the member of staff's performance improves and the problem is, therefore, resolved.

Where it is apparent that a member of staff's personal circumstances are leading to difficulties at school, support will be offered as soon as possible, without waiting for the formal annual assessment.

If an appraiser identifies through the appraisal process, or via other sources of information, for example parental complaints, that the difficulties experienced by a member of staff are such that, if not rectified, could lead to capability procedures the appraiser, the Headteacher, or a member of the leadership team, will, as part of the appraisal process meet the member of staff to:

- give clear written feedback to the member of staff about the nature and seriousness of the concerns;
- give the member of staff the opportunity to comment on and discuss the concerns;
- give the member of staff at least 5 working days' notice that a meeting will be held to discuss targets for improvement alongside a programme of support, and inform the member of staff that he/she has the right to be assisted by a trade union representative or a work colleague, and at any future meetings where capability will be discussed;
- in consultation with the member of staff at the above meeting, an action plan with support will be established (for example coaching, training, in-class support, mentoring, structured observations, visits to other classes or schools or discussions with advisory teachers), that will help address those specific concerns;
- make clear how progress will be monitored and when it will be reviewed;
- explain the implications and process if no, or insufficient, improvement is made.

The member of staff's progress will continue to be monitored as part of the appraisal process and a reasonable time given for the member of staff's performance to improve. This will depend upon the circumstances, but will be for a period of six weeks, with appropriate support as agreed in the Action Plan, in order that the aim of recovering and improving performance can be achieved. During this monitoring period the member of staff will be

given regular feedback on progress and arrangements will be made to modify the support programme if appropriate.

If sufficient progress is made such that the member of staff is performing at a level that indicates there is no longer a possibility of capability procedures being invoked the member of staff should be informed of this at a formal meeting with the appraiser or Headteacher. Following this meeting the appraisal process will continue as normal.

If no, or insufficient, improvement has been made over this period, the member of staff will be invited to a transition meeting to determine whether formal capability proceedings need to be commenced or the appraisal process remains in place. The member of staff may be assisted by a trade union representative or work colleague and will have at least 5 working days' notice of the meeting.

### **Annual assessment**

Each member of staff's performance will be formally assessed in respect of each appraisal period. In assessing the performance of the Headteacher, the sub- committee of the Governing Body must consult the external adviser.

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 and at an interim review meeting in the Spring Term.

The member of staff 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. In this school, teachers will receive their written appraisal reports by 31 October (31 December for the Headteacher). The appraisal report will include:

- details of the member of staff's objectives for the appraisal period in question;
- an assessment of the member of staff's performance of their role and responsibilities against their objectives and the relevant standards;
- an assessment of the member of staff's training and development needs and identification of any action that should be taken to address them;
- a recommendation on pay in respect of teachers where that is relevant (NB – pay recommendations need to be made by 31 December for head teachers and by 31 October for other teachers);
- a section for the teacher's own comments;

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

### **Appeals**

Appraisees have a right of appeal against any of the entries in the written appraisal report. Details of the appeals process are available from the Headteacher or from the Pay Review Committee of the school Governing Body. Where the Headteacher has not been recommended for pay progression he/she will be informed by the appropriate governor.

The Headteacher will notify any teacher who has not been recommended for pay progression of the date when the Governing Body meets to consider pay recommendations, following which the teacher (and Headteacher when the head has not been recommended

for pay progression) may exercise the right of appeal and be accompanied by a trade union representative, or work colleague.

### **Monitoring and Evaluation**

The Governing Body and Headteacher will monitor the operation and effectiveness of the school's appraisal arrangements.

The Headteacher will provide the Governing Body with a written report on the operation of the school's appraisal, pay and capability policies annually. The report will not identify any individual by name. The report will include an assessment of the impact of these policies on:

- Race
- Sex
- Sexual Orientation
- Disability
- Religion and Beliefs
- Age
- Part-time Status
- Maternity and Pregnancy

The Headteacher will report on whether there have been any appeals or representations on an individual or collective basis arising from the appraisal process.

### **Retention**

The Governing Body and Headteacher will ensure that all written appraisal records are retained in a secure place for six years and then destroyed.

**CONFIDENTIAL - TEACHERS' STANDARDS AUDIT AND PROFESSIONAL DEVELOPMENT  
OBJECTIVE PLANNER**

NAME..... PAY POINT..... DATE.....

<b>Standard</b> * + area where you may be able to help others - area where you may need help from others	+*	-*
1.1. Set high expectations which inspire, motivate and challenge pupils <ol style="list-style-type: none"> <li>1. Establish a safe and stimulating environment for pupils, rooted in mutual respect</li> <li>2. Set goals that stretch and challenge pupils of all backgrounds, abilities and dispositions</li> <li>3. Demonstrate consistently the positive attitudes, values and behaviour which are expected of pupils</li> </ol>		
1.2. Promote good progress and outcomes by pupils <ol style="list-style-type: none"> <li>1. Be accountable for pupils' attainment, progress and outcomes</li> <li>2. Plan teaching to build on pupils' capabilities and prior knowledge</li> <li>3. Guide pupils to reflect on the progress they have made and their emerging needs</li> <li>4. Demonstrate knowledge and understanding of how pupils learn and how this impacts on teaching</li> <li>5. Encourage pupils to take a responsible and conscientious attitude to their own work and study</li> </ol>		
1.3. Demonstrate good subject and curriculum knowledge <ol style="list-style-type: none"> <li>1. Have a secure knowledge of the relevant subject(s) and curriculum areas, foster and maintain pupils' interest in the subject and address misunderstandings</li> <li>2. Demonstrate a critical understanding of developments in the subject and curriculum areas, and promote the value of scholarship</li> <li>3. 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</li> <li>4. If teaching early reading, demonstrate a clear understanding of systematic synthetic phonics</li> <li>5. If teaching early mathematics, demonstrate a clear understanding of appropriate teaching strategies</li> </ol>		
<b>Standard</b>	+	-

<p>1.4. Plan and teach well-structured lessons</p> <ol style="list-style-type: none"> <li>1. Impart knowledge and develop understanding through effective use of lesson time</li> <li>2. Promote a love of learning and children's intellectual curiosity</li> <li>3. Set homework and plan out-of-class activities to consolidate and extend the knowledge and understanding pupils have acquired</li> <li>4. Reflect systematically on the effectiveness of lessons and approaches to teaching</li> <li>5. Contribute to the design and provision of an engaging curriculum within the relevant subject area(s)</li> </ol>		
<p>1.5. Adapt teaching to respond to the strengths and needs of all pupils</p> <ol style="list-style-type: none"> <li>1. Know when and how to differentiate appropriately, using approaches which enable pupils to be taught effectively</li> <li>2. Have a secure understanding of how a range of factors can inhibit pupils' ability to learn and how best to overcome these</li> <li>3. Demonstrate an awareness of the physical, social and intellectual development of children, and know how to adapt teaching to support pupils' education at different stages of development</li> <li>4. Have a clear understanding of the needs of all pupils, including those with special educational needs; those with high ability; those with English as an additional language; those with disabilities; and be able to use and evaluate distinctive teaching approaches to engage and support them</li> </ol>		
<p>1.6 . Make accurate and productive use of assessment</p> <ol style="list-style-type: none"> <li>1. Know and understand how to assess the relevant subject and curriculum areas, including statutory assessment requirements</li> <li>2. Make use of formative and summative assessment to secure pupils' progress</li> <li>3. Use relevant data to monitor progress, set targets, and plan subsequent lessons</li> <li>4. Give pupils regular feedback, both orally and through accurate marking, and encourage pupils to respond to the feedback</li> </ol>		

Standard	+	-
<p>1.7 Manage behaviour effectively to ensure a good and safe learning environment</p> <ol style="list-style-type: none"> <li>1. 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</li> <li>2. Have high expectations of behaviour, and establish a framework for discipline with a range of strategies, using praise, sanctions and rewards consistently and fairly</li> <li>3. Manage classes effectively, using approaches which are appropriate to pupils' needs in order to involve and motivate them</li> <li>4. Maintain good relationships with pupils, exercise appropriate authority and act decisively where necessary</li> </ol>		
<p>1.8 Fulfil wider professional responsibilities</p> <ol style="list-style-type: none"> <li>1. Make a positive contribution to the wider life and ethos of the school</li> <li>2. Develop effective professional relationships with colleagues, knowing how and when to draw on advice and specialist support</li> <li>3. Deploy support staff effectively</li> <li>4. Take responsibility for improving teaching through appropriate professional development, responding to advice and feedback from colleagues</li> <li>5. Communicate effectively with parents with regard to pupils' achievements and well-being</li> </ol>		

Part 2 Personal and Professional Conduct ** + performance in line with expectations - performance may be below expectations The following statements define the behaviour and attitudes which set the required standard for conduct throughout a teacher's career	+**	-**
2.1. Teachers uphold public trust in the profession and maintain high standards of ethics and behaviour, within and outside school, by: <ol style="list-style-type: none"> <li>1. Treating pupils with dignity, building relationships rooted in mutual respect, and at all times observing proper boundaries appropriate to a teacher's professional position</li> <li>2. Having regard to the need to safeguard pupils' well-being, in accordance with statutory provisions</li> <li>3. Showing tolerance of and respect for the rights of others</li> <li>4. Not undermining fundamental British values, including democracy, the rule of law, individual liberty and mutual respect, and tolerance of those with different faiths and beliefs</li> <li>5. Ensuring that personal beliefs are not expressed in ways which exploit pupils' vulnerability or might lead them to break the law</li> </ol>		
2.2 Teachers must have a proper and professional regard for the ethos, policies and practice of the school in which they teach, and maintain high standards in their own attendance and punctuality		
2.3 Teachers must have an understanding of, and always act within, the statutory frameworks which set out their professional duties and responsibilities		
Preamble	+**	-**

<ul style="list-style-type: none"><li>• Teachers make the education of their pupils their first concern, and are accountable for achieving the highest possible standards in work and conduct. Teachers act with honesty and integrity; have strong subject knowledge; keep their knowledge and skills as teachers up-to-date and are self-critical; forge positive professional relationships; and work with parents in the best interests of their pupils</li></ul>		
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PERSONAL DEVELOPMENT PLAN

Name:-

	Timescale	Support Needs	Success Criteria	Evaluation Review
<b>Objective 1: Pupil Progress</b> Students make good progress against FFTD targets in classes taught.				
<b>Objective 2: Professional Development</b>				
<b>Objective 3: Leadership</b>				

Agreed by: Postholder ..... Team Leader ..... Date .....