



APPRAISAL / PERFORMANCE MANAGEMENT POLICY

Approved by:	Trust Board	Date: 24 September 2021
Last reviewed on:	24 September 2021	
Next review due by:	24 September 2022	

POLICY OVERVIEW

Statement of Intent

Enhance Academy Trust recognises the importance of every employee's contribution in the provision of excellent high-quality education for pupils at an Enhance academy. The Trust is committed to making available a fair performance appraisal which will provide the opportunity for each employee to review, reflect, celebrate and learn from the year and, at the same time, enable high performance, high standards and ongoing professional development.

The Trust believes that all staff should be treated fairly and equally. This policy has been implemented to assess the overall performance of its employees in the context of their job description and the Trust's overall development plans.

The performance management process 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 are able to continue to improve their professional practice and to develop in their professional roles.

The terms 'Appraisal' and 'Performance Management' are used interchangeably throughout this policy.

Scope

This policy sets out the framework for a clear and consistent assessment of the overall performance of all employees at Enhance Academy Trust, except those on contracts of less than one term, those undergoing induction (i.e. ECTs) and those who are subject to capability procedures. It also sets out the standards expected of colleagues and the arrangements that will apply when individuals fall below those standards.

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

This model policy has been provided as a Trust level resource for schools within Enhance Academy Trust and does not form part of an employee's terms and conditions of employment. However, it does set out current practice and policy and employees are strongly advised to familiarise themselves with its content.

Monitoring

Trustees will ensure that all staff, including the CEO, have their performance appraised on an annual basis.

Some responsibilities are delegated to Trust Officers, Headteachers and Local Governing Bodies as set out below. Much of the responsibility for applying the appraisal and capability policies has been delegated to the academy's local governing body and Headteacher. However, the Trust is the employer of all staff who work in its academies and therefore reserves the right to be involved in the application of this policy at any stage and in particular if it is felt necessary to move from the appraisal to the capability procedures.

The CEO will provide the Trustees with a written report on the operation of the Trust's appraisal policy annually. The report will not contain any information which would enable any individual to be identified.

The report will include:

- the operation of the appraisal policy;
- the effectiveness of the appraisal procedures;
- staff training and development needs.

Intended impact

This policy is designed to meet the following objectives:

- to support the Trust in achieving its strategic goals;
- assisting staff in performing their roles to the best of their ability;
- maximising the performance of staff and monitoring their contribution to the school's overall objectives;
- providing a framework for management to support their team;
- to enhance the quality of learning and teaching;
- to enhance the professional development of staff;
- to deliver a fully effective service to students and the community through well trained, motivated, committed and competent staff;
- highlighting any potential areas for improvement;
- to set out arrangements when staff are experiencing difficulties in meeting the standard expected of them;
- to address any concerns that are raised about a member of staff's performance.

Additionally, performance management should:

- recognise achievement and consolidate good practice;
- support career planning;
- provide a mechanism for prioritising workload;
- provide a means of identifying staff development needs and improve the planning and delivery of this;
- promote professional relationships and dialogue within school

Legal framework

The appraisal / performance management policy will be applied fairly and in accordance with employment law. The application of this policy will not directly or indirectly discriminate against any members of staff on any grounds. Academies must stay within the legal framework set out in the Appraisal Regulations and in other relevant legislation that affects all employers (for example legislation on equality, employment protection and data protection).

- a) This policy has due regard to all relevant legislation and statutory guidance including, but not limited to, the following:
 - **Equality Act 2010**

- **Employment Act 2002**
- **The General Data Protection Regulations 2018**
- **Data Protection Act 2018**

b) This policy operates in conjunction with the following school policies:

- **Training and Continuous Professional Development (CPD) Policy**
- **Records Management Policy**
- **Data Protection Policy**

Roles and responsibilities

The Headteacher or nominated manager will be responsible for:

- a) Ensuring that performance management discussions take place within working time for all staff and within directed time (not within PPA time) specifically for teachers.
- b) Ensuring staff understand the performance management review process.
- c) Discussing and agreeing objectives and training needs with the staff member who is subject to review.
- d) Supporting the staff member in their development.
- e) Monitoring the staff member and providing feedback when appropriate or necessary.
- f) Maintaining appropriate confidentiality with regards to the outcomes of the appraisal process

The Employee is responsible for:

- a) Familiarising themselves with and understanding the performance management process.
- b) Having a full understanding of the requirements of their job.
- c) Taking responsibility for their objectives during the year.
- d) Preparing for review meetings.
- e) Participating in a review of their performance.
- f) Discussing and agreeing their objectives with the Headteacher/nominated manager.
- g) Identifying areas for personal development.
- h) Receiving and reviewing feedback in a constructive manner.

Any training required will be provided to managers so they are confident in applying the procedure and so they understand how to set objectives and how to assess performance to ensure a fair review.

Appraisal Key Principals

Appraisal at Enhance Academy Trust is designed to ensure that colleagues are able to continue to improve their professional practice and to develop as individual practitioners and professionals within the context of each school's needs and for improving educational provision and performance.

Where staff are eligible for pay progression, the assessment of performance throughout the cycle will be the basis on which the recommendation is made by the appraiser and this policy should be read in conjunction with the Trust's Pay Policy which provides details of these arrangements.

Trustees expect that objectives set for all staff, if achieved, will improve the education of pupils at each school and contribute to improving each school's education provision and performance.

Teachers will be assessed against the Teachers' Standards and any other standards relating to teachers' performance as is applicable to the performance of any individual teacher.

Support Staff will be assessed against the Support Staff Standards, as commensurate with their job description.

The appraisal period

The appraisal period will run for twelve months from September to August.

Employees on a fixed term contract will have an annual review if they are employed for more than twelve months, in line with the principles laid out in this policy.

Employees who are temporarily not at work, e.g. off sick or on maternity leave, when the appraisal discussion is due, will have a review meeting on their return to work.

Staff with leadership responsibilities can also expect to have their performance in this aspect of their role appraised and targets will be set accordingly.

Where an employee transfers from one school to another within the Trust, or from one manager to another, the new line manager will conduct the appraisal discussion, with support from the former line manager. Any determination regarding pay will be made against the new role.

Appointing appraisers

The CEO will be appraised by a committee of three Trustees including the Chair. The appointment of a suitably skilled and/or experienced external adviser to support this process is an option open to the Chair but it is not a requirement of this policy. This appraisal meeting will also include the setting of objectives.

Headteachers will be appraised by CEO and may involve up to two members of the Local Governing Board.

At school level, the Headteacher has final responsibility for determining who will appraise other colleagues. Usually, the relevant line manager will be responsible for appraising performance. All appraisers for teachers will be qualified teachers with current or recent teaching experience.

If the appraiser is absent for the majority of the appraisal cycle, another, suitable appraiser at the same level as the line manager, may be appointed. Where an employee has an objection to the choice of appraiser in these circumstances, they should raise it with the Headteacher who will consider their concerns and, where it's appropriate, an alternative appraiser with the necessary knowledge and experience, will be appointed.

All staff carrying out appraisals will have undertaken appropriate training.

Implementation

Setting objectives

Objectives will be agreed in partnership with the employee, as soon as practicable before, or at, the beginning of each appraisal period. They will contain a description of what would be required for the objective to be achieved successfully, referred to as 'SMART' criteria, as well as a description of the outcome and intended impact:

- Specific** – the objective will be clear
- Measurable** – evidence based
- Achievable** – with resources and time available, it can be done
- Realistic** – within the setting and opportunities available
- Time-bound** – by when it will be achieved.

Objectives will take account of any relevant pay progression criteria and, where possible, the individual's professional aspirations. They will be such that, if they are achieved, they will contribute to improving the education of pupils at the school and the implementation of any plans of the Trustees, Local Governing Board or CEO designed to improve the school's education provision and performance.

If agreement is not possible, the manager will set the objectives and the employee may register objections on the appraisal record. Objectives can be revised, or reasonable adjustments made, if circumstances change.

Objectives are not intended to cover the full range of an individual's responsibilities. All employees will generally have between 3 and 5 objectives focused on priorities aligned to their role, to school improvement priorities and to the Trust's overarching goals. Staff in similar roles will not necessarily all have the same number of objectives. In setting objectives, managers will have due regard for what is reasonable in the context of roles, responsibilities, experience and work-life balance.

The objectives set and the standards to be achieved will be documented and a copy provided to the employee (Appendix [B]). Objectives may be revised and reasonable adjustments made if there is a significant change in circumstance, e.g. a change of job role, long term sickness, maternity leave, disability, or if the employee requires more support to meet the objectives.

Reviewing performance

The performance of all employees, and the progress they are making towards achieving their objectives, will be reviewed on an on-going basis as well as through set interim meetings, discussion and feedback. It should be a supportive process to inform personal achievement and continuing professional development.

Interim reviews

Interim reviews provide a formal opportunity to review progress against objectives. As a minimum, one mid-year interim review meeting with the line manager will take place

If it is identified at an interim meeting that an employee is not making sufficient progress towards the achievement of their objectives, or if performance is not meeting requirements, this should be addressed in the meeting and a Support Plan will be put in place to get back on track. Account will be taken where it has not been possible for an employee to meet their objectives because the support recorded in the action plan has not been provided, or due to a change in circumstances.

Assessment of teachers and classroom observation (teachers)

Objectives for each teacher will be set before, or as soon as practicable after, the start of each performance management/appraisal period. The objectives set will be appropriate to the teacher's role.

The Trust believes that observation of classroom practice is only one way of assessing a teacher's performance as part of this policy and identifying strengths and areas for development. This will be carried out only by a qualified teacher and in a supportive fashion. Teachers will be given at least five days' notice and will have no more than three performance management formal observations totalling up to three hours except in circumstances where the teacher has agreed to additional observations or is on a formal Support Plan and a higher number of observations have been agreed. A range of other strategies will be used to assess a teacher's performance for example work sampling and pupil discussions.

Teachers will be assessed to a level that is consistent with what should be reasonably expected in their role and at the relevant stage of their career. Teachers' Standards define expectations for teaching staff:

Teachers' Standards

https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/665520/Teachers_Standards.pdf

Overview of Teachers' Standards

https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/665522/Teachers_standard_information.pdf

How to Use Teachers' Standards

https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/283567/Teachers_standards_how_should_they_be_used.pdf

Support Staff Objectives

The objectives set for members of support staff will be appropriate to the staff member's role and level of experience.

Personal Development

Enhance Academy Trust wishes to encourage a culture in which all employees take responsibility for improving their performance through appropriate professional development. Professional development will be linked to school improvement priorities and to the ongoing professional development needs and priorities of individuals.

Any learning and development needs that are carried forward from the previous appraisal period or are identified as part of the objective setting process, should be documented along with a description of how that learning or development need will be met during the year.

Annual Assessment

Each teacher's performance will be formally assessed in respect of each appraisal period. 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 as and when necessary but does not preclude the need for ongoing dialogue with members of staff throughout the year.

The employee will receive a summary in writing as soon as practicable following the annual assessment and will have the opportunity to comment in writing before any recommendation of pay is made.

The appraisal report will include:

- overall assessment of the employee's performance details of the 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 their training and development needs and identification of any action that should be taken to address them;
- a recommendation on pay, based on the overall assessment of performance, and in accordance with the Trust's Pay Policy.

Other members of staff will also be provided with constructive feedback during the year, be assessed against their performance management objectives and be provided with a written appraisal/performance management report.

Teachers will receive their written appraisal reports by 31 October, Headteachers by 31 December and all other employees by 28 February. Good progress towards the achievement of a challenging objective will be assessed favourably.

Assessment against the Teachers' Standards will start with the premise that all teachers are meeting the Teachers' Standards and they will be assessed as meeting the Standards unless clear evidence to the contrary is provided. The assessment of performance and of training and development needs will inform the pay recommendation and planning process for the following appraisal period.

Job Descriptions

After the review has taken place, the Headteacher/nominated manager will review and update the existing job descriptions where necessary.

Any changes made to the job description will be agreed with the person who holds the position. Changes will be discussed and agreed upon towards the end of the performance review. A review of existing job descriptions will typically take place annually.

Feedback and Records

Teachers will receive constructive feedback on their performance throughout the year and as soon as practicable after observations have taken place or other evidence has come to light. This will be confirmed in writing within 5 working days after an observation has taken place.

Where matters require discussion with the staff member there is no reason why this must wait until the next appraisal review meeting. The feedback will be constructive and will highlight particular areas of strength as well as any areas that need attention and what needs to be done to develop areas of weakness.

All written accounts of the observation will be made available on request. Feedback will highlight particular areas of strength as well as any areas that need attention.

Concerns and Support Plans

Where there are concerns about any aspects of performance these will be raised with the employee at the earliest opportunity. The objective is to provide support and guidance in such a way that the employee's performance improves. Support will be offered as soon as possible without waiting for the formal annual assessment. This is particularly important where there are indications that the overall assessment of performance is likely to be that improvement is required or where performance is inadequate in their appraisal mid-year.

The line manager will meet with the employee to:

- provide clear feedback about the nature and seriousness of the concerns;
- give the employee the opportunity to comment on and discuss the concerns;
- agree an action plan in consultation with the employee, (for example coaching, training, in-class support, mentoring, structured observations, visits to other classes or schools or discussions with advisory teachers), that will help to address those specific concerns;
- make clear how progress will be monitored and when it will be reviewed;
- identify a timeframe for performance to improve
- explain the implications and process if no – or insufficient – improvement is made, including potential implications on pay progression (the amount of time will depend upon the seriousness of the concerns but will not be less than eight weeks except in exceptional circumstances).

Staff may be accompanied by a colleague or trade union representative as this is the best opportunity to avoid the matter becoming formalised.

These will be summarised in a Support Plan and progress will continue to be monitored as part of scheduled one to one meetings and the appraisal process over an agreed time for the employee's performance to improve. During this monitoring period the employee will be given regular feedback on progress in writing which may be in the form of an updated Support Plan, and arrangements will be made to modify the support programme if appropriate.

If insufficient progress has been made, the Capability Policy may be instigated. If sufficient progress is made such that the employee is performing at a level that indicates there is no longer a possibility of capability procedures being invoked, they should be informed of this at a formal meeting with the line manager. Following this meeting the appraisal process will continue as normal.

Transition to Capability Policy

It is expected that any concerns about performance will have been discussed with the employee, and an appropriate framework of support will have been put in place to help the employee achieve the required standard before moving to the Capability Policy (see feedback and supportive intervention sections above).

If performance does not improve despite the measures put in place, and concerns about performance continue the employee will be notified in writing that the Appraisal Policy will no longer apply and that their performance will be managed under the Capability Policy. They will be invited to a formal capability meeting with at least 5 working days' notice. The capability procedures will be conducted in accordance with the Enhance Academy Trust's Capability Policy.

The Capability Policy may be initiated at any time during the appraisal cycle.

Performance-related pay (pay progression)

The Trust's Pay Policy establishes how pay decisions will be made in relation to performance-related pay. Whilst the Trust is keen to reward good performance through incentives including pay, decisions regarding movement through any pay scale will be subject to good service and performance that is rated as meeting expectation.

Support staff appointed on a scale will typically increment annually until the maximum of the scale is reached. Staff who experience difficulties and transition to the Trust's Capability policy will experience a pay freeze until a transition is made back to the performance management policy.

Staff can raise formal appeals against the school in accordance with the Trust's pay policy.

Appeals

Employees have the right to comment on any aspect in a written appraisal or any procedural issues, and through discussion the need to appeal may be avoided.

Every effort should be made by the line manager and employee to discuss the concerns and to identify where they disagree in order to arrive at an agreed assessment of performance. If this is not achievable, the employee can raise their concerns to their manager's line manager using the Grievance Procedure. If the appeal is against the pay recommendation, it should be carried out under the Pay Policy appeals procedure.

Judgements & Standardisation

No judgement should be confirmed until the line manager has held discussions with relevant colleagues. The Headteacher will have overall responsibility for the quality assurance of the appraisal process across each school. This will include ensuring consistency and equality of application of the process throughout the Trust.

The Headteacher will report annually to the Local Governing Body on any relevant issues, including those of underperformance, arising from the annual review cycle and on any action required to address those issues. The report will enable governors to receive an overall general report of the process but will not include specific details relating to individual members of staff.

Moderation of appraisal reports and associated evidence will be conducted by a specially convened panel including the CEO and Headteachers to ensure consistency across the Trust for those who have similar experience and similar levels of responsibility, and for rigour in application of the Appraisal policy and the regulations and requirements of equality legislation.

Sickness

If long term sickness absence appears to have been triggered by the commencement of the performance management/appraisal monitoring or a formal capability procedure, the case may be dealt with in accordance with the Academy's absence policy and will normally be referred to the occupational health service to assess the member of staff's health and fitness for continued employment and the appropriateness or otherwise of continuing with monitoring or formal procedures.

In some cases it may be appropriate for formal procedures to continue during a period of sickness absence. The views of the occupational health physician, however, may be taken into account before a decision is reached.

Workload and Equality Impact Assessment

Trustees are satisfied that the operation of this policy does not have a detrimental effect on the workload of those involved. Trustees are also satisfied that the terms of this policy will not impact adversely on members of staff who have a protected characteristic within the meaning of the Equality Act 2010.

In addition, the Trust is committed to promoting equality and will ensure that the appraisal process is fair and non-discriminatory,.

The CEO will also report on whether there have been any appeals or representations on an individual or collective basis on the grounds of alleged discrimination under any protected characteristics.

Confidentiality

The appraisal process will be treated with confidentiality. In particular, the Appraisal Review statements are confidential to the appraiser, the appraisee and the appropriate line management.

The rules outlined in the Data Protection Act 2018 and GDPR will be followed. All documents produced during the performance review process will be treated with the strictest confidentiality at all times.

The expectation of confidentiality does not override the need for quality assurance of the process and the effectiveness of the appraisal system. In reporting, anonymised data may be collated on performance ratings and pay recommendations to ensure consistency across a school, region or the Trust.

Retention

All written appraisal documentation will be kept in a secure place and destroyed after six years.

APPENDIX A

How Additional Support Through the Appraisal Process is Provided

If during the appraisal process the appraiser feels that additional support is needed, in consultation with the appraisee, they will discuss what support is needed and decide who in the academy or Trust is able to provide and co-ordinate this support.

At this stage the support is deemed to be informal and progress during this period of support is discussed between the appraisee and the designated support member of staff. The appraiser, after a reasonable time lapse of usually between four to six weeks will then undertake another appraisal to determine if sufficient progress is being made.

At this stage, three options are considered: -

- No further support is needed
- Informal support would help the appraisee to continue to make progress, or
- Insufficient progress has been made

If the appraiser feels that the third option is appropriate the appraisal process moves to the stage described in the Feedback stage above and a meeting between the appraiser and the teacher will take place where concerns about any aspects of the teacher's performance will be discussed.

If not done so already the concerns identified will be linked to the appraisal review and to the Teachers' Standards document; a more formal support plan will be agreed; and the appraiser will explain how and when they will review progress.

It is at this stage where the appraiser decides if the teacher has made or is making satisfactory progress and the appraisal process continues or if we need to make the transition to capability.

Written Record of Agreed Objectives

APPENDIX B

NAME:		DATE OF MEETING:	
REVIEWER:			

REVIEW OF 2020 – 2021 OBJECTIVES
OBJECTIVE 1
SELF EVALUATION – OBJECTIVE MET / OBJECTIVE NOT MET
APPRASIER’S EVALUATION - OBJECTIVE MET / OBJECTIVE NOT MET
OBJECTIVE 2
SELF EVALUATION – OBJECTIVE MET / OBJECTIVE NOT MET
APPRASIER’S EVALUATION - OBJECTIVE MET / OBJECTIVE NOT MET
OBJECTIVE 3
SELF EVALUATION – OBJECTIVE MET / OBJECTIVE NOT MET
APPRASIER’S EVALUATION - OBJECTIVE MET / OBJECTIVE NOT MET

OVERALL EVALUATION OF PROGRESS TOWARDS OBJECTIVES INCLUDING PAY RECOMMENDATIONS <i>(IF RELEVANT)</i>

2021 – 2022 OBJECTIVES	
OBJECTIVE 1	
SUCCESS CRITERIA	
OBJECTIVE 2	
SUCCESS CRITERIA	
OBJECTIVE 3	
SUCCESS CRITERIA	

PROFESSIONAL DEVELOPMENT NEEDS

Signature of member of staff and date:	
Signature of reviewer and date:	