



## Appraisal Policy 2018-19

<b>Applicable to:</b>	✓	All individual academies within NEAT
	✗	Specified academies only
	✓	NEAT Trust
<b>Approval body:</b>	NEAT Achievement and Climate for Learning Committee	
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Central Support Manager (SH)	1 September 2017	1.0	Agreed by Trust Board for implementation in schools and central team
<b>Changed by</b>	<b>Revision Date</b>	<b>Version</b>	<b>Status</b>
Central Support Manager (SH)	1 September 2018	2.0	Revised version for 2018-19 appraisal period
<b>Review Date</b>			
<b>Frequency</b>	<b>Next Review Due</b>		
Annually	July 2019 (or earlier if new guidance or legislation issued and/or business need for earlier review identified)		

## 1 Purpose

The purpose of this policy is to set out the framework for a clear and consistent assessment of the overall performance of employees and support for their development needs within the context of the trust's/school's strategic and operational plans for improving educational provision, performance and outcomes, and the standards expected by the trust.

This policy does not apply to NEAT Active Ltd as it is a separate employer.

## 2 Scope

This policy applies to all employees, except those with fixed-term contracts of less than one term, salaried trainee teachers, newly qualified teachers during their induction period and employees subject to the trust's Managing Underperformance Procedure.

## 3 Roles and responsibilities

- **Trust's Achievement and Climate for Learning Committee:** The committee will review this policy and monitor its effectiveness including ensuring it is fairly and consistently applied across the trust's schools and the central team.
- **Local Governing Body (LGB):** The LGB will annually monitor the operation and outcomes of appraisal arrangements within their individual school.
- **Chief Executive Officer (CEO):** The CEO is responsible for reporting annually on appraisal arrangements and training and development needs within the central team. They are also responsible for ensuring the trust takes account of appraisal outcomes and professional development needs for the workforce in its strategic and operational planning.
- **Principal/Head Teacher:** The principal/head teacher is responsible for reporting annually on appraisal arrangements and training and development needs within the school. They are also responsible for evaluating standards of teaching and learning and ensuring proper standards of professional practice are established and maintained. They will take account of appraisal outcomes in school improvement planning and ensure the school produces and resources an effective plan for the professional development of its workforce.
- **Appraisers:** Where the principal/head teacher or CEO has delegated responsibility for the appraisal process to other line managers, those appraisers will undertake the role. Where the appraisee is eligible for performance pay progression, this will include making a proposal about progression to the head teacher however it is up to the principal/head teacher, or the CEO in the case of principals/headteachers and relevant members of the trust's central team, to determine what pay recommendation will be put forward to the relevant committee. It is the responsibility of appraisers to ensure that objectives are set, the classroom observation protocol is implemented, other evidence is reviewed, the performance criteria are applied, and that feedback and any pay recommendation are appropriate in terms of equalities considerations.

- **Appraisees:** All employees are expected to play an active role in their own appraisal and professional development including taking action as agreed at meetings held under this policy.

#### **4 Link to Pay Policy**

The trust's Pay Policy sets out the discretions in performance pay determinations for principals/headteachers, teachers and senior managers across the trust. Pay progression for all eligible employees will be determined following an assessment of performance over the appraisal period. The Pay Policy outlines the criteria for pay progression linked to performance.

#### **5 Policy statement**

The trust and each school will operate an appraisal policy that:

- reflects the aims, objectives and priorities of the trust's/school's strategic and operational plans by providing an appropriate framework for the assessment of performance, which in turn informs self-evaluation and improvement planning;
- aims to recognise the work of all employees and their contribution to trust/school life and to support their development needs;
- aims to minimise workload and bureaucracy and has regard to the work/life balance of all employees, governors and directors;
- is developed in consultation with trust employees and recognised trade union representatives and is accessible to all;
- is consistent with the principles of public life - objectivity, openness and accountability;
- establishes an appropriate mechanism for considering grievances in relation to an individual's appraisal; and
- achieves consistency of treatment and fairness including compliance with equalities legislation.

The trust and the local governing body will ensure in its budget planning that, as far as possible, appropriate resources are made available in the school/central budget for any training and support agreed for staff under the appraisal process.

#### **6 Appraisal period**

- The performance of all employees in scope of this policy will be reviewed on an annual basis. The appraisal process will be completed for all appraisees by 31 October.
- The appraisal period will run for twelve months from September to August for all appraisees.
- Employees with a fixed-term contract of one term or more but less than one year will have their performance managed in accordance with the principles underpinning this policy. They will be set objectives relevant and appropriate for the period of the fixed term contract and will have their performance assessed accordingly. The length of the appraisal period will be determined by the duration of their contract.

## **7 Appointment of appraisers**

### **7.1 For the CEO**

The Board of Directors will annually appoint three directors including the Chair of the Trust Board to be the appraisers of the CEO.

### **7.2 For principals/head teachers**

The CEO is the appraiser for each principal/head teacher and will liaise with the chair and the vice chair of the school's local governing body when setting objectives and reviewing performance.

### **7.3 For teachers and support staff in schools**

The principal/head teacher will be the appraiser for those employees they directly line manage. Where the head teacher is not the direct line manager, the role of appraiser will be delegated in its entirety to the employee's line manager. Where an employee has more than one line manager the principal/head teacher will determine which line manager will be the most appropriate to appraise the employee's performance. All line managers to whom the head teacher has delegated the role of appraiser will receive appropriate support for that role.

Where an appraisee is of the opinion that the person to whom the principal/head teacher has delegated the appraiser's duties is unsuitable for professional reasons, they may submit a written request to the principal/head teacher for the appraiser to be replaced, stating those reasons. The request will be considered and a written response giving reasons for the decision provided within 10 working days.

### **7.4 For staff in the trust's central team or employed to work wholly for the Newcastle Teaching School Alliance**

The CEO will be the appraiser for those staff they directly line manage. Where the CEO is not the direct line manager, the role of appraiser will be delegated in its entirety to the employee's line manager. Where an employee has more than one line manager the CEO will determine which line manager will be the most appropriate to appraise the employee's performance. All line managers to whom the CEO has delegated the role of appraiser will receive appropriate support for that role.

In the case of the postholder designated as clerk to the trust board, the appraiser will liaise with the chair of the trust board when setting objectives and reviewing performance.

Where an appraisee is of the opinion that the person to whom the CEO has delegated the appraiser's duties is unsuitable for professional reasons, they may submit a written request to the CEO for the appraiser to be replaced, stating those reasons. The request will be considered and a written response giving reasons for the decision provided within 10 working days.

## **8 Objectives and standards**

### **8.1 Setting objectives**

- The CEO's objectives will be set by the three directors appointed by the trust's board of directors as the appraisers for that appraisal period.
- The principal/head teacher's objectives will be set by the CEO after consultation with the chair and vice chair of the school's local governing body.
- Objectives for each appraisee will be set before or as soon as practicable after the start of each appraisal period. As a general principle, teachers will be set three appraisal objectives and support staff a minimum of two appraisal objectives for a full appraisal period.
- Every effort will be made for the objectives to be agreed between the appraiser and appraisee but where agreement cannot be reached, the appraiser will make the final determination
- The objectives will be set out in a planning statement issued to the appraisee following a meeting to discuss their appraisal and will:
  - contribute to the trust's/school's plans for improving educational provision, performance and outcomes;
  - be rigorous, challenging, achievable, time-bound, fair and equitable for staff with similar roles/responsibilities and experience;
  - have regard to what can reasonably be expected of any appraisee in that position given the trust's commitment for appraisees to achieve a satisfactory balance between the time required to discharge their professional duties and the time required to pursue their personal interests outside work, consistent with the strategy for bringing downward pressure on working hours;
  - reflect the employee's experience and professional aspirations; and
  - be quality assured against the trust's/school's strategic and operational plans.
- The planning statement will set out:
  - any arrangements for observing performance in the classroom;
  - what information/evidence/criteria will be used;
  - what support/assistance will be provided; and
  - the expected timescale for completion of the objectives (which may span more than one appraisal period).

### **8.2 Reviewing objectives**

Should it be necessary to review and/or change objectives or to incorporate additional classroom observations then a Revision Meeting will be held and changes should be recorded on the Planning and Review Statement and sent to the individual.

### **8.3 Teachers' Standards**

- It is the trust's policy that the performance of all teachers, regardless of their career stage will be assessed against the current national teachers' standards which define the minimum level of practice expected from teachers from the point of being awarded qualified teacher status (QTS). These are provided in Annex 1 of this policy. Before, or as soon as practicable after, the start of each appraisal period, each teacher will be informed of the standards against which their performance in that appraisal period will be assessed.
- The appraisal of principals/headteachers will be informed by the National Standards of Excellence for Headteachers but they will not be assessed against them in the same way as teachers as they are not mandatory and are not designed to be a minimum baseline for performance.

## **9 Reviewing performance and gathering evidence**

Staff subject to the appraisal process should be clear about the evidence required by the appraiser in order to assess their performance overall and, where relevant, make any recommendation regarding pay progression.

The evidence gathered by the appraiser and the appraisee will be determined by the nature and scope of the agreed objectives and, where relevant, the Teachers' Standards. There is no requirement for the appraisee to gather evidence specifically for the appraisal process.

The available evidence to be considered may include where relevant:

- pupil data including statutory and optional test results, examination results, school-based pupil testing, tracking and progression data;
- evidence from school-based monitoring and evaluation systems including the scrutiny of pupils' work and lesson planning reviews (in whatever format the teacher prefers based on their professional judgment);
- classroom observations undertaken in accordance with the classroom observation protocol in Annex 2 of this policy;
- written feedback from individuals with direct professional knowledge of the appraisee's work - including from outside the trust if the appraisee is involved in outreach work e.g. through the Newcastle Teaching School Alliance or has a wider role within the community or locality e.g. attendance and welfare roles);
- evidence of outcomes identified for leadership and management objectives;
- evidence of outcomes identified for administrative, professional or technical objectives; and
- the outcomes of the appraisee's engagement in professional development including feedback on any contribution they have made to the development of others.

Teachers' performance will be observed but the amount and type of classroom observation will depend on the individual circumstances of the teacher and the overall needs of the school. Classroom observation will be carried out by those with qualified teacher status (QTS).

In addition to formal observation, head teachers or other leaders with responsibility for teaching standards may "drop in" in order to evaluate the standards of teaching and to check that standards of professional performance are established and

maintained. The length and frequency of “drop ins” will vary depending on the specific circumstances of the school. “Drops in” are not a formal part of the appraisal process, however in the event that any areas for development are identified then this will be fed back to the teacher and may be included as a focus of a future formal observation.

Appraisal is a supportive process which will be used to inform continuing professional development. The trust wishes to encourage a culture in which all staff share responsibility for improving their performance through appropriate professional development. Professional development will be linked to the trust’s/school’s strategic and operational plans and priorities and to the ongoing professional development needs and priorities of individual staff.

## **10 Feedback and interim meetings**

Appraisees will receive constructive feedback on their performance throughout the year and as soon as practicable after any 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.

The appraisee and appraiser will review and address performance and development priorities on a regular basis throughout the year at interim meetings held during working time. An interim meeting will be held at least once during the appraisal period, however the appraiser and the appraisee can agree to meet more frequently.

## **11 Concerns about an appraisee’s performance**

### **11.1 Addressing concerns at a review meeting**

Where there are concerns about any aspects of the employee’s performance the appraiser will meet the appraisee formally during the appraisal period to:

- give clear feedback to the appraisee about the nature and seriousness of the concerns
- identify the shortfall in performance and the required standards that need to be met;
- give the employee the opportunity to comment and discuss the concerns;
- agree any support (e.g. training, 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 is up to the appraiser but should be reasonable and reflect the seriousness of the concerns);
- state clearly how the employee’s performance will be monitored and assessed during this period (monitoring and assessment will be reasonable and is intended to give the opportunity for the appraisee to demonstrate they are making progress towards the required standards by the end of the review period);
- explain the implications and process if no – or insufficient – improvement is made within the specified timeframe including that, where relevant, the employee may not be recommended for performance pay progression at the end of the appraisal period and/or

the appraisal process may stop and the employee's performance will be managed under the trust's Managing Underperformance Policy instead.

The employee does not have to be offered the opportunity to be accompanied by a trade union representative or fellow worker at a review meeting as it is not part of a formal procedure. However, this should not generally be refused if requested and can often facilitate discussions.

Written records of the meetings, arising actions etc should be kept. The outcome of discussions will be confirmed to the employee in writing within two working weeks wherever possible. The arrangements for support, review and monitoring may be in the form of a Development Plan to ensure that these are clear to both the appraiser and appraisee.

## **11.2 Transition to capability**

If the appraiser is not satisfied with progress, the employee will be notified in writing that the appraisal system will no longer apply and that performance will be managed under the Managing Underperformance Procedure, and will be invited to a formal capability meeting. The transition to formal capability will not normally be made unless there is evidence that:

- underperformance against agreed objectives and/or standards has prevailed for some time; and
- the underperformance is serious and/or has persisted despite the provision of support.

Employees may be accompanied by a trade union representative or fellow worker under the formal stages of the Managing Underperformance Procedure and may wish to seek advice and support at this stage.

## **12 Annual assessment**

Every employee's performance will be formally assessed at the end of each appraisal period. In assessing the performance of the head teacher, the CEO will consult the chair and vice chair of the local governing body.

The appraisee 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. Appraisees will receive their written appraisal reports by 31 October. 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; and
- a recommendation on performance pay progression where relevant.

For appraisees in schools, the headteacher will assess and make a decision about the content of each appraisal report and where the appraisee is a teacher eligible for performance pay, this will include making a recommendation about pay progression to the relevant committee which has the delegated responsibility to make decisions on behalf of the trust's Board of Directors.

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

When progress is reviewed, if the appraiser is satisfied that the employer 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.

### **13 Appeals**

If an appraisee wishes to appeal against any determination in relation to his or her pay the procedure is set out in the Trust's Pay Policy.

If an appraisee is unhappy with the content of the written appraisal report excluding the recommendation regarding pay progression, the Trust's Grievance Procedure should be used.

### **14 Confidentiality**

- The whole appraisal process including the written appraisal report will be treated with strict confidentiality at all times, subject to the arrangements for access to this and other evidence set out below.
- Appraisal reports will be retained by the head teacher, or the CEO in the case of principals/head teachers and the central team, for a minimum period of 6 years from the end of the cycle.
- Where the person undertaking classroom observation is not the appraiser, sufficient information about the focus of the observation and the relevant objectives will be shared with the appraiser to enable this role to be performed effectively.
- Where an eligible employee is considered for performance pay progression, the relevant committee will be provided with access to the appraiser's appraisal report upon request.
- Where an employee submits an appeal under this policy, the relevant person(s) will be provided with access to the appraisal report and any other relevant appraisal documentation to enable consideration of the appeal.

### **15 Quality assurance**

- The head teacher (and any other appropriate senior colleague) will personally review all objectives and written appraisal records for school staff, in order to check that there is a consistency of approach and standards of expectation between different appraisers.
- The CEO will personally review all objectives and written appraisal records for the central team in order to check that there is a consistency of approach and standards of expectation between different appraisers.

## **16 Specific issues**

### **16.1 Teachers and support staff who join the trust or change jobs within the trust during the appraisal period**

- For staff who start their employment part-way through the appraisal period, the head teacher or CEO will make appropriate arrangements for their performance to be managed during the remainder of the school year with a view to bringing their cycle into line with the cycle for other staff as soon as possible.
- For staff already employed by the Trust who transfer to a new post with different responsibilities within the Trust part-way through the appraisal period, the head teacher or CEO will determine whether to begin the appraisal period again and whether to change the appraiser, depending on the extent to which the appraisee's responsibilities, job description and line management arrangements have changed. This will not adversely impact on the appraisee's performance pay progression where the old and new posts are on the same pay range.

### **16.2 Part-time teachers and support staff**

- Appraisal arrangements will apply on the same basis as full-time staff. The same degree of challenge in the process will apply but the breadth and volume of each element in the process will be proportionate to and reflect the period of time worked.
- Where a job share arrangement is in place, objectives, performance criteria and the evidence to be considered will focus on an individual member of staff's contribution.

### **16.3 Teachers and support staff who are absent for a significant part of the appraisal period**

- In assessing an employee's overall performance, the appraiser will take account of what it was reasonable for the appraisee to achieve during the time they were in school or whether a review meeting needs to be arranged to change/amend the objectives that have been set.
- The implications for the recommendation about performance pay progression for eligible employees are set out in the Trust's Pay Policy.

#### **General**

This policy is at the discretion of the employer and can be varied at any time following consultation with staff and recognised trade unions. In the event of any conflict with primary legislation or statutory regulations, the legal provisions will have precedence over this policy in all cases.

## Annex 1 – DfE Teachers’ Standards

### PREAMBLE

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.

### PART ONE: TEACHING

A teacher must:

#### 1 Set high expectations which inspire, motivate and challenge pupils

- establish a safe and stimulating environment for pupils, rooted in mutual respect
- set goals that stretch and challenge pupils of all backgrounds, abilities and dispositions
- demonstrate consistently the positive attitudes, values and behaviour which are expected of pupils.

#### 2 Promote good progress and outcomes by pupils

- be accountable for pupils’ attainment, progress and outcomes
- be aware of pupils’ capabilities and their prior knowledge, and plan teaching to build on these
- guide pupils to reflect on the progress they have made and their emerging needs
- demonstrate knowledge and understanding of how pupils learn and how this impacts on teaching
- encourage pupils to take a responsible and conscientious attitude to their own work and study.

#### 3 Demonstrate good subject and curriculum knowledge

- have a secure knowledge of the relevant subject(s) and curriculum areas, foster and maintain pupils’ interest in the subject, and address misunderstandings
- demonstrate a critical understanding of developments in the subject and curriculum areas, and promote the value of scholarship
- 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
- if teaching early reading, demonstrate a clear understanding of systematic synthetic phonics
- if teaching early mathematics, demonstrate a clear understanding of appropriate teaching strategies.

#### 4 Plan and teach well structured lessons

- impart knowledge and develop understanding through effective use of lesson time
- promote a love of learning and children’s intellectual curiosity
- set homework and plan other out-of-class activities to consolidate and extend the knowledge and understanding pupils have acquired
- reflect systematically on the effectiveness of lessons and approaches to teaching
- contribute to the design and provision of an engaging curriculum within the relevant subject area(s).

#### 5 Adapt teaching to respond to the strengths and needs of all pupils

- know when and how to differentiate appropriately, using approaches which enable pupils to be taught effectively
- have a secure understanding of how a range of factors can inhibit pupils’ ability to learn, and how best to overcome these
- 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
- have a clear understanding of the needs of all pupils, including those with special educational needs; those of 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.

#### 6 Make accurate and productive use of assessment

- know and understand how to assess the relevant subject and curriculum areas, including statutory assessment requirements
- make use of formative and summative assessment to secure pupils’ progress
- use relevant data to monitor progress, set targets, and plan subsequent lessons
- give pupils regular feedback, both orally and through accurate marking, and encourage pupils to respond to the feedback.

#### 7 Manage behaviour effectively to ensure a good and safe learning environment

- 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
- have high expectations of behaviour, and establish a framework for discipline with a range of strategies, using praise, sanctions and rewards consistently and fairly
- manage classes effectively, using approaches which are appropriate to pupils’ needs in order to involve and motivate them
- maintain good relationships with pupils, exercise appropriate authority, and act decisively when necessary.

#### 8 Fulfil wider professional responsibilities

- make a positive contribution to the wider life and ethos of the school
- develop effective professional relationships with colleagues, knowing how and when to draw on advice and specialist support
- deploy support staff effectively
- take responsibility for improving teaching through appropriate professional development, responding to advice and feedback from colleagues
- communicate effectively with parents with regard to pupils’ achievements and well-being.

### PART TWO: PERSONAL AND PROFESSIONAL CONDUCT

A teacher is expected to demonstrate consistently high standards of personal and professional conduct. The following statements define the behaviour and attitudes which set the required standard for conduct throughout a teacher’s career.

- Teachers uphold public trust in the profession and maintain high standards of ethics and behaviour, within and outside school, by:
  - treating pupils with dignity, building relationships rooted in mutual respect, and at all times observing proper boundaries appropriate to a teacher’s professional position
  - having regard for the need to safeguard pupils’ well-being, in accordance with statutory provisions
  - showing tolerance of and respect for the rights of others
  - 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
  - ensuring that personal beliefs are not expressed in ways which exploit pupils’ vulnerability or might lead them to break the law
- Teachers must have proper and professional regard for the ethos, policies and practices of the school in which they teach, and maintain high standards in their own attendance and punctuality.
- Teachers must have an understanding of, and always act within, the statutory frameworks which set out their professional duties and responsibilities.

## **Annex 2 – Classroom Observation Protocol**

### **General**

The governing body 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 courtesy;
- evaluate objectively;
- report accurately and fairly; and
- respect the confidentiality of the information gained, given the arrangements for confidentiality and record keeping set out elsewhere in this policy.

### **Specific Arrangements for Teachers**

- The total period for classroom observation arranged for any teacher, whether full- or part-time, for the purposes of appraisal will not exceed three hours per cycle having regard to the individual circumstances of the teacher. There is no requirement to use all of the time. The amount of observation planned and agreed for each teacher will reflect and be proportionate to the needs of the individual appraisee and reflect their individual circumstances.
- In this school proportionate to need will be determined by consideration of:
  - the assessment of the appraisee's overall performance at the end of the last appraisal cycle;
  - the nature of the objectives set for the next appraisal period; and
  - the appropriateness of classroom observation as a source of evidence for the performance criteria identified for those objectives.
- Where evidence emerges about the appraisee's teaching performance which gives rise to concern during the appraisal period additional classroom observations may be arranged.
- In keeping with the commitment to supportive and developmental classroom observation those being observed will be notified of the lesson to be observed in advance in accordance with the school's local arrangements and also what aspects are to be assessed in line with the objectives and criteria that have been set.
- Classroom observations will only be undertaken by persons with Qualified Teacher Status (QTS). This may be by the appraiser or others with appropriate professional expertise. In this school 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.
- The evidence gathered may relate to the appraisee's teaching practice performance in general and will contribute to the overall assessment of performance at the end of the appraisal period.
- Verbal feedback will be given as soon as possible after the observation and always no later than the end of the next school day. It will be given during directed time in a suitable, private environment.