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### 1. Aims

This policy aims to:

- Set out the arrangements for appraising staffs, including the process and the responsibilities of individuals
- Ensure consistency and fairness across the Charity

- Create a process where staffs' professional development is supported and encouraged, in the context of the Charity's latest Regulator report, our Charity improvement plan and the Staffs' Standards
- Ensure staffs have the skills and knowledge they need to fulfil and excel in their role and provide an excellent education to our pupils

The policy applies to all teaching staff employed by the Charity or local authority, except those on contracts of less than 1 term, those undergoing induction and those undergoing capability procedures.

During the first year of employment, staff are under a probation period and thus will follow the probation processes.

## **2. Legislation and guidance**

This policy is based on the model policy produced by the Department for Education (DfE).

This policy complies with our articles of association.

## **3. Definitions**

In this policy, the term 'staff' refers to all employees.

Where relevant, we have added further detail regarding arrangements for CEOs.

## **4. The appraisal period**

The appraisal period will run for 12 months beginning on the first day of the autumn term. Appraisals will be held termly.

For staff on fixed-term contracts of less than 12 months, the appraisal period will be determined by the duration of their contract.

Staff who start at or leave the Charity during the appraisal period can have a longer or shorter appraisal period in that appraisal round.

It is intended that staff will have had their annual appraisal meeting and received their appraisal report by 31 October.

It is intended that the CEO will have had their annual appraisal meeting and received their appraisal report by 31 December.

## **5. Setting objectives**

Staff objectives will be set before, or as soon as possible after, the start of the appraisal period.

The CEO's objectives will be set by the Chair of the Board.

Objectives will:

- Contribute to improving the education of scholars at the Charity and the implementation of any Charity improvement plans. To ensure this happens, the CEO will quality assure all objectives against the Charity improvement plan
- Be specific, measurable, achievable, realistic and time-bound (SMART)

- Be appropriate to the staff's role and career experience
- Be revised if circumstances change throughout the year

When objectives are set, staff will also be informed of the standards their performance will be judged against.

The appraiser and staff will seek to agree the objectives but, if that is not possible, the appraiser will determine the objectives.

## **6. Standards**

Staff will be assessed against the [Teachers Standards](#) where applicable and the Charity's own standards.

## **7. Reviewing performance (including observation protocol)**

We will use a range of evidence to judge a staff's performance:

- Formal and informal lesson observations
- Observations and results from wider Charity activities, if applicable
- Performance of their scholars
- Reviews of planning and marking
- Scholar, multi-agency and carer voice
- KPIs

### **7.1 Observation protocol**

We believe that observations are an important way of assessing staff performance. They can help identify a staff's strengths and areas for improvement and can help us identify areas of good practice that can be shared across the Charity.

There will be both formal and 'drop in' observations. Staff with responsibilities outside the 'classroom' will also have these responsibilities observed.

All observations will:

- Be carried out in an objective, fair, professional and supportive manner
- Be carried out by staff with Qualified Teacher Status
- Provide constructive feedback
- Remain confidential to those who need to know details as part of their jobs

### **7.2 'Drop in' observations**

Drop-in observations will usually be conducted by the CEO and/or Director of Operations in order to monitor the quality of teaching and learning.

They will usually last around 20 minutes and may involve the observer talking to scholars and looking at their work.

The frequency will depend on the individual staff and the Charity's needs at the time.

Generally, verbal feedback will be given the following day.

We will use all reasonable endeavours to provide written feedback within 5 working days.

Please note that we also carry out drop-in observations where fellow staff observe a lesson for their own professional development. Notice may not be given and evidence will not be used as part of the appraisal process.

### **7.3 Formal observations**

The purpose of formal observations is to assess performance and progress against objectives and the relevant standards.

We will take into account the staff's workload and individual circumstances when determining the number of formal observations.

For example, less experienced staff who have recently started at the Charity will receive a number of formal observations to establish their strengths and areas for development. A very experienced staff member will typically receive fewer observations.

Staff will not receive more than 3 formal observations over the year.

Generally, verbal feedback will be given the following day.

We will use all reasonable endeavours to provide written feedback within 5 working days.

### **7.4 Additional observations**

Additional formal observations will take place if:

- The staff request them
- There are concerns that the staff's performance is not up to standard (this may be triggered by poorly performing or poorly behaved scholars)
- The staff member is subject to formal capability proceedings

The above protocols will still apply to these additional observations.

## **8. Annual assessment**

Performance will be reviewed and addressed on a regular basis throughout the year in termly meetings with the staff member's line manager.

The appraisal meeting is the end point of the annual appraisal process and will take place in the summer term. In this meeting, the appraiser will:

- Review the relevant evidence
- Assess performance in the appraisal period against the relevant standards
- Assess performance in the appraisal period against objectives
- Discuss the staff member's professional development needs and identify action that should be taken
- Discuss the staff member's wellbeing, career aspirations and any difficulties they may be facing

- If necessary, discuss underperformance and put a plan in place to address it. If a staff continues to demonstrate serious underperformance and does not respond to support provided, they will be notified in writing that the appraisal system will no longer apply and that their performance will be managed under the capability procedure, and they will be invited to a formal capability meeting. Refer to our capability policy for more information

## **9. Conducting annual appraisal meetings**

The CEO's appraisal meeting will be conducted by the Chair of the Board.

The CEO will decide who will appraise the rest of the staff team. Unless there is a good reason not to, this will normally be the staff member's line manager. By way of example, a 'good reason' could be a poor or deteriorating working relationship between the staff and line manager, including where a formal grievance has been lodged by the staff citing their line manager.

All appraisers will be provided with appropriate training.

Appraisal meetings will take place within the staff member's normal working hours and will typically last for at least an hour. Scheduling appraisal meetings for an hour and a half is therefore recommended.

## **10. Appraisal report**

Staff will be provided with a written report of their appraisal. The report will be completed by the person who conducted the appraisal. We will use all reasonable endeavours to complete this within 5 working days.

This will include:

- An assessment of the staff member's performance against their objectives and the relevant standards
- An assessment of the staff member's training and development needs, and the action that should be taken to address them
- Where relevant, a recommendation on pay progression

There will be space in the report for the staff member's own comments.

After the report has been issued, we will hold review meetings where staff can discuss the contents of their report if they wish.

Staff will sign the appraisal report to say they have seen it and agree with its content. Staff can appeal to the CEO, and the CEO can appeal to the governing board, if they disagree with the contents of the report and the pay recommendation it makes.

A template appraisal report can be found in appendix 2.

## **11. Concerns about a staff member's performance**

If it becomes clear a staff member is having difficulties at any point during the appraisal period, they will be provided with additional support.

This will begin with a meeting with their line manager, where the problem will be discussed and potential solutions identified. A performance improvement plan may be created.

The nature of the support will be based on the individual's circumstances. For example, staff whose difficulties are linked to a long-term health condition may be referred to the occupational health service. Staff new to the Charity may be given a mentor or coach.

The concerns may be of a nature that would usually involve beginning the capability procedure. In these cases, refer to our capability policy.

## **12. Confidentiality**

The appraisal process and relevant documents are strictly confidential. Only staff members who need the information in order to do their jobs will have access to the information.

Appraisal information will be anonymised when information is reported to the governing board.

Appraisal records will be kept securely in the staff's personnel file.

## **13. Monitoring arrangements**

The governing board will monitor and review the effectiveness of the appraisal arrangements. The CEO will monitor objectives and assessments to ensure consistency.

This policy will be reviewed annually.

The CEO and Chair of the Board are responsible for approving the policy.

## **14. Links with other policies**

This policy should be read in conjunction with our capability and pay policies.

The capability policy will be used where this appraisal policy has not been able to address concerns about a staff member's performance. It applies to all staff, not just teaching staff.

The pay policy sets out how pay increases will be awarded, based on the results of a staff's appraisal.

### Appendix 1: appraisal timeline

DATE	ACTION
End of July	Discuss and set objectives, inform staffs of the standards their performance will be assessed against
First day of autumn term	Appraisal cycle begins
September / October	Appraisal meeting held to review the previous appraisal period
31 October	Appraisal process is completed for staff, deadline for appraisal reports to be sent
31 December	Appraisal process is completed for the CEO, deadline for appraisal report to be sent
Termly throughout the year	Meetings held to review progress
Throughout the year	Formal and drop-in observations and monitoring take place, constructive feedback is provided

## Appendix 2: appraisal report template

REVIEW				
NAME:				
YEAR:				
<b>Assessment against objectives</b>				
Objective 1:				
Fully achieved		Partly achieved		Not achieved
Comments:				
Objective 2:				
Fully achieved		Partly achieved		Not achieved
Comments:				
Objective 3:				
Fully achieved		Partly achieved		Not achieved

**REVIEW**

NAME:

YEAR:

Comments:

Objective 4:

Fully achieved

Partly achieved

Not achieved

Comments

**Assessment against standards**

Standards that apply (i.e. the Teachers' Standards and any other relevant standards):

**Assessment against standards**

Comments:

RECOMMENDATION FOR PAY PROGRESSION (WHERE APPLICABLE)

Is pay progression being recommended?

*(Recommendations are subject to the approval of the CEO and Board of Trustees)*

If so, what is the recommended new salary?

Reasons:

Reviewer name and signature:

Reviewee name and signature:

PLANNING

PLANNING FOR THE NEXT YEAR:

**New objectives**

Objective 1:

Steps to achieve, evidence to assess progress, and timescales:

Objective 2:

Steps to achieve, evidence to assess progress, and timescales:

Objective 3:

Steps to achieve, evidence to assess progress, and timescales:

**PLANNING**

**PLANNING FOR THE NEXT YEAR:**

Objective 4:

Steps to achieve, evidence to assess progress, and timescales:

**STANDARDS AND TRAINING/DEVELOPMENT**

**Standards**

Standards to focus on:

Evidence to assess progress and timescales:

**Training and development**

Focus:

**STANDARDS AND TRAINING/DEVELOPMENT**

Action:

Support:

Timescales:

**COMMENTS**

Reviewer:

Reviewee:

Names and signatures

Reviewer:

**COMMENTS**

Reviewee:

Date:

**DATE OF NEXT MEETING:**