



Bradford Diocesan  
Academies Trust

# **APPRAISAL/ PERFORMANCE MANAGEMENT POLICY**

**Issued: May 2017  
Reviewed: June/July 2017  
Next Review Due: Aug 2018**

## Introduction

The term Appraisal/Performance Management is used interchangeably throughout this policy.

Revised (**appraisal/performance management**) arrangements came into force with effect from 1 September 2012. They are set out in the Education (School Teachers' Appraisal) (England) Regulations 2012 (the Appraisal Regulations) which replace the Education (School Teacher Performance Management) (England) Regulations 2006 (the 2006 Regulations). The 2006 Regulations continue to apply to any (**appraisal/performance management**) cycle which is in progress on 1 September 2012.

The Appraisal Regulations set out the principles that apply to all teachers working at an academy within the Trust where they are employed for one term or more. They retain the key elements of the 2006 Regulations but allow academies more freedom to design arrangements to suit their own individual circumstances.

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).

This policy applies to members of the Leadership Team, to teachers and to all other staff employed to the academy, except those on contracts of less than one term, those undergoing induction (*ie NQTs*) and those who are subject to capability procedures. A separate appraisal system has been devised by the Trust for the (**Executive Headteacher/Principal/Headteacher**) and can be seen in Appendix 1. (**Appraisal/Performance management**) in this academy 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 Governing Body is committed to ensuring consistency of treatment and fairness in the operation of (**appraisal/performance management**).

## Purpose

This policy sets out the framework for a clear and consistent assessment of the overall performance of teachers (**Executive Headteacher/Principal/Headteacher**) and support staff, and for supporting their development within the context of the academy's plan for improving educational provision and performance, and the standards expected of teachers. In the case of support staff, these members of staff will be assessed against the relevant job requirement for their post in the academy and the context in which they work. It also sets out the arrangements that will apply when staff are experiencing difficulties in meeting the standards that are expected of them. The (**appraisal/performance management**) procedure will also be used to address any concerns that are raised about a member of staff's performance.

Where teachers are eligible for pay progression, the assessment of performance throughout the cycle, against the performance criteria specified in the (**appraisal/performance management**) statement, will be the basis on which the recommendation is made by the appraiser.

## **The (Appraisal / Performance Management) Period**

The appraisal/performance management period will run for twelve months completing no later than 31<sup>st</sup> October each year.

Staff who are employed on a fixed term contract of less than one year will have their performance managed in accordance with the principles underpinning this policy. The length of the period will be determined by the duration of their contract.

Where a member of staff starts their employment at an Academy part-way through a cycle, the **(Executive Headteacher/Principal/Headteacher)** or, in the case where the employee is the **(Executive Headteacher/Principal/Headteacher)** the Governing Body, will 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 other members of staff as soon as possible. The appropriate manager will inform the staff member of the arrangement where this applies.

## **Appointing (Appraisers / Performance Managers)**

Executive Headteachers will be appraised by the Chair of the Local Governing Body, an optional second governor, the CEO and the director of the relevant phase. Principals/Headteachers will be appraised by the Chair of the Local Governing Body, an optional second Governor and the director of the relevant phase.

The **(Executive Headteacher/Principal/Headteacher)** will decide who will appraise other members of staff.

## **Setting Objectives**

Objectives for each teacher will be set before, or as soon as practicable after, the start of each **(performance management/appraisal)** period. These objectives will follow the format outlined below and will be appropriate to the teacher's role:

- 1) Learning walk and work scrutiny target (this will depend on the experience of the teacher)**
- 2) Student Progress target**
- 3) Leadership and or Management OR teaching/development target (if the teacher has no post holder responsibilities)**

The **(appraiser/performance manager)** and the teacher will seek to agree the objectives but, if that is not possible, the appraiser will determine the objectives. Objectives may be revised if circumstances change. Should the objectives not be agreed, the final decision on allocation of objectives rests with the **(Executive Headteacher/ Principal/Headteacher)**.

The objectives set for each teacher will, if achieved, contribute to the academy's plans for improving the academy's educational provision and performance and improving the education of students at that academy. This will be ensured by quality assuring all objectives against the academy improvement plan.

Before, or as soon as practicable after, the start of each appraisal period, each teacher will be informed of the standards against which performance in that appraisal period will be assessed. All teachers, regardless of career stage, will be assessed against the Teachers' Standards (DofE publication, May 2012). These standards are attached for reference.

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

### **Reviewing Performance**

Performance will be reviewed on an on-going basis, evaluating information from a range of sources and not just the **(appraisal/performance management)** meetings.

### **Observation**

BDAT believes that formal observation of classroom practice, work scrutiny and other associated responsibilities are 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 observations will be carried out in a supportive fashion and teachers will also be observed regularly, these will be completed by trained observers; any feedback will be communicated as soon as possible.

In addition to observation and work scrutiny, the **(Executive Headteacher/Principal/Headteacher)** or other leaders acting on behalf of the Headteacher/Principal, with responsibility for teaching standards may "drop in" in order to evaluate the standards of teaching and to check that high standards of professional performance are established and maintained. The length and frequency of "drop in" observations will vary depending on specific circumstances (*for example learning walks focusing on literacy, numeracy, more able students*).

Teachers who have responsibilities outside the classroom (such as planning, marking and post holder responsibilities) should also expect to have their performance of those responsibilities observed and assessed.

### **Development and Support**

Performance Management is a supportive process which will be used to inform continuing professional development. BDAT wishes to encourage a culture in which all teachers take responsibility for improving their teaching through appropriate professional development. Professional development will be linked to school improvement priorities and to the ongoing professional development needs and priorities of individual teachers.

### **Feedback during the (Appraisal/Performance Management) Year**

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. 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.

## 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 teacher will receive as soon as practicable following the end of each **(appraisal/performance management period)** a written **(appraisal/performance management)** report. The **(appraisal/performance management)** report will include:

- details of the teacher's objectives for the **(appraisal/performance management)** period in question;
- an assessment of the teacher's performance of their role and responsibilities against their objectives, in the context of the relevant standards;
- an assessment of the teacher's training and development needs and identification of any action that should be taken to address them;
- teachers will be informed of the outcome (e.g. whether the teacher has met their objectives and whether they will be recommended for a pay increment) after line manager's discussions have taken place with the **(Executive Headteacher/Principal/Headteacher)**. All final decisions sit with the LGB/BDAT Board.

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.

**NB** To move up the main pay range, teachers will need to show that they have been judged as successful in the completion of the last round of performance **(managements/appraisals)**. This will include competency in the Teachers' Standards and good progress towards set objectives. The Governing body may exercise its' discretion and award enhanced pay progression for exceptional performance. The Governing Body may also decide not to award pay progression where the performance **(management/appraisal)** is considered unsuccessful. To move up to the Upper Pay Scale two consecutive successful rounds of performance management are required. Judging a round of performance management to be successful is a professional decision made by the **(performance/appraisal)** manager and fully meeting all performance management targets is not a requirement for success.

The assessment of performance and of training and development needs will inform the planning process for the following **(performance management/appraisal)** period.

## Appeals

Staff will have the right to comment on the **(performance management/appraisal)** report and through discussion the need to appeal may be avoided.

Appraisees have a right of appeal against any of the entries in the **(performance management/appraisal)** written report. Details of the appeals process are available from the **(Executive Headteacher/Principal/Headteacher)** or from the Academy Governing Body. The first line of appeal will be by making representations at a meeting with the appraiser. If the matter is still unresolved after this stage the matter will be heard by the Appeals Committee of the Governing Body using the Academy's grievance procedures.

The **(Executive Headteacher/Principal/Headteacher)** will notify any staff member who has not been recommended for pay progression of the date when the Governing Body meets to consider pay recommendations, following which the teacher may exercise the right of appeal, assisted by a companion who may be a colleague, a trade union official or a trade union representative. Appeals on matters relating to pay progression will be dealt with under the procedure set out in the Academy's pay policy.

### **Staff experiencing difficulties during the (performance management/appraisal) cycle.**

The approach taken with the **(performance management/appraisal)** cycle is to encourage staff to develop their skills and expertise. Whilst it is perfectly normal for progress through the **(performance management/appraisal)** cycle to be monitored and additional support provided where necessary, occasionally a staff member may be identified as having particular difficulties in achieving a satisfactory standard of performance.

### **Meeting to discuss difficulties and additional support**

If an appraiser identifies through the **(appraisal/performance management)** process that the staff member is experiencing difficulties in reaching the expected standard of performance, and that the use of capability procedures could be necessary if the situation is not rectified, a meeting will be arranged to discuss the situation. Concerns may arise through appraisal monitoring, observations of performance or via other sources of information (for example parental complaints).

At least 5 working days' notice of the meeting will be given and the staff member will be informed that he/she has the right to be assisted by a representative of an independent trade union or workplace colleague at the meeting.

The meeting will be conducted by the appraiser, the **(Executive Headteacher/Principal/Headteacher)**, or a member of the leadership team. The purpose of the meeting will be to:

- give clear feedback about the nature and seriousness of the concerns;
- give the opportunity to comment and discuss the concerns;

### Possible outcomes of this discussion

- it is agreed that the concerns do not merit special support over and above the normal arrangements for all staff and that normal appraisal arrangements should continue

or

- it is decided that special support under an Action Plan would be beneficial

and

in all cases the staff member will be advised that the Academy's capability procedure may be used if under-performance continues and that the aim is to avoid such an eventuality

**NB Academy Executive Headteacher/Principal/Headteacher difficulty discussions will be led by the Chair of the Academy and a Trust representative**

#### Preparing the Action Plan

*The following steps will be taken in preparing and agreeing an action plan*

- discuss targets for improvement;
- agree an Action Plan in consultation with the staff member, which includes any possible forms of support (e.g. coaching, training, in-class or on the job support, mentoring, structured observations, learning walks, opportunities to observe outstanding practitioners and discussions with outside experts), that will be provided to help address those specific concerns;
- make clear how, and by when, the appraiser will review progress and set dates for Review Meetings
- It may be appropriate during the process to revise objectives, and it will be necessary to allow sufficient time for improvement. The amount of time is up to the school but should reflect the seriousness of the concerns:
- explain the implications and process if no, or insufficient, improvement is made, including the possible use of capability procedures;
- where it is apparent that a staff member's personal circumstances or health are contributing to the difficulties at the academy, appropriate support including access to occupational health, will be offered as soon as possible, without waiting for the formal annual assessment.
- date for a final review meeting should be set reflecting the time allowed for improvement and that the outcome of this meeting could result in:
  - the staff member has improved performance so that this is no longer a concern
  - continued support where good progress towards improvement is being made
  - the use of capability procedures is considered
- The outcome of the meeting will be confirmed in writing including details of the Action Plan, the expected standards of performance and the timescale for improvement.

When dealing with a staff member experiencing difficulties, the objective is to provide support and guidance through the **(performance management/appraisal)** process in such a way that the staff



member's performance improves and the problem is, therefore, resolved and the use of capability procedures becomes unnecessary.

The staff member also has a responsibility to engage with the support programme and to discuss with the appropriate manager any other forms that may be of assistance.

If sufficient progress is made such that the staff member is performing at a level that indicates there is no longer a possibility of capability procedures being invoked then he or she should be informed of this at a formal meeting with the appraiser or Head teacher/Principal and confirmed in writing. Following this meeting the **(performance management/appraisal)** process will continue as normal.

Where concerns about the staff member's progress persist, he or she will continue to be monitored as part of the **(performance management/appraisal)** process and a reasonable time given for their performance to improve. The amount of time allowed for improvement will depend upon the circumstances 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 staff member will be given regular feedback on progress and arrangements will be made to modify the support programme if appropriate.

## **General Principles Underlying This Policy**

### **Consistency of Treatment and Fairness**

The Governing Body is committed to ensuring consistency of treatment and fairness and will abide by all relevant 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.

### **Grievances**

Where a member of staff raises a grievance during the **(performance management/appraisal)** process about the said process, the process may be temporarily suspended in order to deal with the grievance.

### **Confidentiality & Professional Relationships**

The **(performance management/appraisal)** process will be treated with confidentiality. Only the **(Executive Headteacher/Principal/Headteacher)**, the appraiser's line manager or, where he or she had more than one, each of his or her line managers will be provided with access to the appraisee's plan recorded in his or her statements. This will be done upon request and only where this is necessary to



enable the line manager to discharge his or her line management responsibilities. Appraisees will be consulted on requests for access to statements in the context of this policy.

The process of gathering evidence for performance reviews will not compromise normal professional relationships between staff. The desire for confidentiality does not override the need for the **(Executive Headteacher/Principal/Headteacher)** and governing body to quality-assure the operation and effectiveness of the appraisal system. The **(Executive Headteacher/Principal/Headteacher)** or appropriate colleague might, for example, review all staff members' objectives and written **(performance management/appraisal)** records personally – to check consistency of approach and expectation between different appraisers. The **(Executive Headteacher/Principal/Headteacher)** should be made aware of all pay recommendations that are made.

### **Monitoring and Evaluation**

The governing body and Head teacher/Principal will monitor the operation and effectiveness of the Academy's **(performance management/appraisal)** arrangements.

The **(Executive Headteacher/Principal/Headteacher)** will provide the governing body with a written report on the operation of the Academy's **(performance management/appraisal)** policy 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 **(Executive Headteacher/Principal/Headteacher)** will report on whether there have been any appeals or representations on an individual or collective basis on the grounds of alleged discrimination.

### **Retention**

The Governing Body and Head teacher/Principal will ensure that all written **(performance management/appraisal)** records are retained in a secure place for six years and then destroyed.

**Appendix 1**

**(Executive Headteacher/Principal/Headteacher) Appraisal Process**

Appraisal for the BDAT Primary Academy (**Executive Headteachers/Principals/Head teachers**) is the shared responsibility of both the Academy Trust and Local Governing Body.

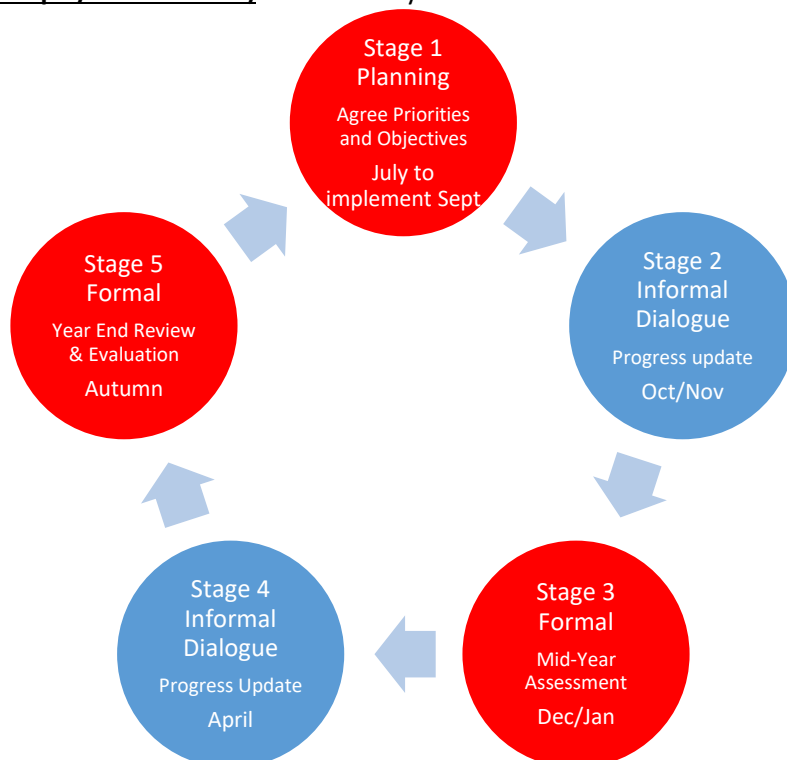
The Chair of the LGB will lead the process and hold responsibility for agreeing (**performance management/appraisal**) meeting dates, minutes and outcomes e.g. relating to pay and performance bonuses within the Academy’s budget.

Appraisal of the **Executive Headteachers** will include the Chair of the Local Governing Body, an optional second governor, the C E O of the Trust and the director of the relevant phase. Appraisal of Principals/Headteachers will include the Chair of the Local Governing Body, an optional second Governor and the director of the relevant phase (A nominee may be appointed to stand in for the Chief Executive Officer and/or Chairman of the LGB – non-availability must not prevent the cycle from being completed within the 12 month period).

**The BDAT Appraisal Cycle September 2016-17**

**(Executive Headteacher/Principal/Headteacher)** PM will follow an ongoing cycle of five stages:

The red circles indicate formal (**performance management/appraisal**) stages where all attendees (CEO, LGB, **(Executive Headteacher/Principal/Headteacher)** and director of relevant phase would be required), whereas the blue stages indicate ongoing dialogue between the **(Executive Headteacher/Principal/Headteacher)** and LGB only.



It may be that Stage 1 and Stage 5 take place within the same formal meeting, usually held in July for the Primary phase or the Autumn Term for the Secondary phase, so that evaluations relate to the completed Academy year and objectives set will relate to the forthcoming Academy year - September to August.

### Setting objectives

Objectives will be set by agreement and will be SMART (specific, manageable, achievable, realistic and time-bound). They will be clearly related to the Improvement Plans of the Trust and the Academy.

Five headline objectives will be implemented across the Trust from September each year.

1. Leadership and management
2. Raising standards and student progress
3. Collaborative working across the Trust
4. Other (to include Academy specific areas and areas including behaviour, attendance, Christian and community ethos, buildings etc.)
5. A personal development objective (linked to CPD and staff development plan). In the case of the **(Executive Headteacher/Principal/Headteacher)** this will focus on “Developing yourself as an Academy leader” to ensure our **(Executive Headteachers/Principals/Headteachers)** have space and support to prioritise their own development.

The representatives of the LGB and the employee will set the detail in relation to each of the headline objectives appropriate to their own Academy context and Raising Achievement Plan (RAP). The Trust will ensure level of challenge and support is comparable across Academy **(Executive Headteacher/Principal/Headteacher)**

### Preparing for meetings

It is really important staff prepare for meetings and come prepared to evidence their performance and progress. This should not be an onerous process and a simple self-evaluation form will be provided by the Trust to cover each of the key meeting points.

Each staff member will be expected to provide this self-evaluation statement to members of the performance review group (at least 7 days prior to the meeting). This will include a brief evaluation of progress during the year against each of the agreed targets set during the previous Stage 1 Appraisal meeting. It should reference Academy data as at the most recent data capture point.

Each section/objective should include a self-evaluation grading performance over the previous year, based on supporting evidence:

- 1 Objectives met or exceeded – with analysis
- 2 Objectives partially met – with analysis
- 3 Objectives not met – with full analysis

Reviewers will also be expected to prepare for the meeting by reading the self-evaluation and making an indicative judgement on performance based on this information, observation and other evidence available.

The self-evaluation and supporting evidence will provide the basis for discussions and the production of an agreed summary of performance relating to the preceding year including an agreed grading. It will be the role of the director of the relevant phase to compile and agree a summary of progress at the three formal meeting points per year. The LGB will hold all informal and formal paperwork. The review paperwork will include an agreed written summary of progress towards achieving previous objectives and agreed priorities and objectives for the coming year – with a brief rationale for these as appropriate. This document, standardised for all BDAT Academies, will be provided within 15 working days of the review meeting by the independent advisor.

The Stage 2 and 4 Interim Review Meetings are an informal and unreported opportunity for the **(Executive Headteacher/Principal/Headteacher)** and Chair of Governors to assess progress towards achieving targets, ensuring that training and resource availability is appropriate to supporting the **(Executive Headteacher/ Principal/Headteacher)** in achieving objectives. The Chair and **(Executive Headteacher/Principal/Headteacher)** may decide to agree to take notes for their own records.