



Bath & Wells Multi Academy Trust Appraisal Procedure

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Please also see the following **Key Documents**:

- Carrying out Appraisals and Line Management Meetings
- Appraisal Documentation for Leadership and Head Teachers
- Appraisal documentation for Teachers
- Appraisal Documentation for Support Staff
- Appraisal Timeline

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1. Purpose

- 1.1. The purpose of this procedure is to set out the framework for a clear and consistent assessment of the overall performance of employees and for supporting their development within the context of the MATs aims and objectives and more locally in line with department strategies and school's development plans. For teachers there is also a link to the standards expected at each career stage. Appraisal decisions will be used to inform pay progression decisions and therefore this procedure should be read in conjunction with the Pay Policy.
- 1.2. This procedure (V2) is effective from 1 September 2016 as approved by the Bath & Wells Diocesan Academies Trust operating as Bath & Wells Multi Academy Trust (hereafter referred to as the MAT).

2. Applicability

- 2.1. This procedure applies to all employees of the MAT whether permanent or on a fixed term contact with the following exceptions:
 - 2.1.1 Those employed for a period of less than one term
 - 2.1.2 Those teachers undergoing induction (i.e. NQTs)
 - 2.1.3 Support staff within their probationary periods where concerns should be dealt with under the Probation Procedure
 - 2.1.4 Agency workers, contractors or volunteers
 - 2.1.5 Employees subject to the formal Capability Procedure

3. Roles and Responsibilities

- 3.1. Line managers are responsible for:
 - 3.1.1 Implementing this procedure within their areas of responsibility,
 - 3.1.2 Ensuring that they set realistic and measurable standards of performance,
 - 3.1.3 Setting objectives in line with the appraiser's job role, that support their development and achievement of organisational/departmental/school aims and objectives,
 - 3.1.4 Supporting staff to achieve the standards set.
- 3.2. Employees are responsible for complying with the requirements of this procedure and for performing their duties to an acceptable standard. Where an employee is suffering from an ill health condition that is affecting their performance at work they should speak to their manager as soon as possible.

4. Principles

- 4.1. The MAT needs the effective performance of its entire staff in order to deliver its aims and objectives. The appraisal process should be a supportive and developmental process to ensure that all employees have the skills and support they need to carry

out their role effectively. This process should enable staff to continue to improve their professional practice and develop.

- 4.2. Employees should be provided with appropriate information, support and advice during induction and probation to achieve the required standards of performance. For support staff please see the Probation Procedure for further details.
- 4.3. The appraisal process will remain confidential between the appraiser(s) and employee and the employee's line manager (if this is different to the appraiser). The Headteacher, MAT Leadership (or such others such as HR and auditors) may access the documents as part of quality assurance.
- 4.4. The MAT will try to resolve issues of underperformance informally through meetings between the employee and their line manager. However, where this approach has been followed and has not worked or the performance concerns are more serious, formal action under the Capability Procedure will be considered.
- 4.5. The employee will be given reasonable notice (usually 5 working days where possible) of any meetings under this procedure.

5. The Appraisal Period

- 5.1. The appraisal period runs for twelve months from 1 September to 31 August.
- 5.2. 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 procedure. The length of the period will be determined by the duration of their contract.
- 5.3. Where an employee joins partway through the normal appraisal period an adjustment to the period and targets set will be made.

6. Appointing Appraisers

- 6.1. The MATs CEO will be appraised by the Chair of the Board of Directors, an external representative and a Non-Executive Director.
- 6.2. Staff members of the MAT's Senior Management Team will be appraised by the CEO with input from a nominated Non-Executive Director.
- 6.3. All other staff within the MAT central team will usually be appraised by their direct Line Manager, however external or Director input may be agreed for some specialist roles where felt appropriate.
- 6.4. Headteachers within Schools will be appraised by a sub-group consisting of at least two members which will include a MAT Director (or a delegated representative such as the DLA or Regional Hub Lead) and the Chair of the Local Governing Board, or a governor nominated by them.
- 6.5. The Headteacher will decide who will appraise teaching and support staff. Where they delegate this role for some or all teachers and support staff for whom they are not the line manager they will moderate a sample of the documents to ensure

consistency and compliance with this procedure. Those nominated to appraise any qualified classroom teachers will hold qualified teacher status.

7. Setting Objectives

- 7.1 Objectives for all staff will be set by the appraiser(s) as identified in the above section.
- 7.2 Objectives will be set before or as soon as practicable after the start of each appraisal period. The objectives set should be Specific, Measurable, Achievable, Realistic and Time-bound and be appropriate to the employee's role and level of experience. They shall also take account of professional aspirations and any relevant pay progression criteria (see Pay Policy).
- 7.3 The appraiser and employee will seek to agree the objectives, but if that is not possible, the appraiser will determine the objectives which they will provide to the employee within 5 working days of the meeting. If the employee continues to have concerns about the targets that have been set they should put their concerns in writing to the appraiser and Headteacher. (where the Headteacher is the appraiser concerns should be addressed to the Chair of the Local Governing Board), or for central staff concerns should be put in writing to the appraiser and the CEO, (where the CEO is the appraiser concerns should be addressed to the Chair of the Board)
- 7.4 Objectives will be specific to individual members of staff and may be revised if circumstances change, for example flexibility will need to be retained to take account of factors outside of the staff members control.
- 7.5 The objectives set will, if achieved, contribute to the wider MAT plans and the school's plans for improving educational provision and performance and improving the education of pupils. All appraisers should therefore make reference to the school development plan/department objectives/MAT strategic plans prior to setting objectives. For teachers this link will be made:
- By ensuring that the pupil progress objective addresses the key attainment priority
 - By ensuring that the professional development objective addresses the key development priority identified by the annual discussion around the teacher standards as part of the objective setting meeting (see appendices A and B)
 - By ensuring that the professional development objective (all teachers with paid leadership responsibilities) addresses the key development priority identified by consideration of each leader's impact on relevant school improvement priorities – with reference to any leadership standards.
- 7.6 Objectives will be set in for the appraisal period, usually 3 objectives will be set, and the number of objectives set will take into account the difficulty and complexity, and also the individuals working hours.
- 7.7 Appraisers may wish to consider longer term objectives for leadership roles (with immediate targets set in annual appraisals) and link reward to longer-term school improvement as part of the appraisal process.

8 Reviewing Performance

- 8.1 Observation of performance will generally be present in the workplace throughout the year in all activities and through regular 1:1 meetings between individuals and their line managers.

Development and Support

- 8.2 Appraisal is a supportive process, which will be used to inform continuing professional development. The MAT wishes to encourage a culture in which all staff take responsibility for improving their performance, and grow and develop professionally through appropriate professional development. Professional development will be linked to school improvement priorities/MAT strategic priorities and to the on-going professional development needs and priorities of individuals.
- 8.3 For school based staff, the MAT believes that evaluation of learning and teaching and other responsibilities is important both as a way of assessing performance in order to identify any particular strengths and areas of development an individual may have and of gaining useful information which can inform school improvement more generally.
- 8.4 For school based staff performance will be regularly evaluated through triangulated monitoring of: pupil's work; data; learning and teaching in class. The amount and focus of evaluations will depend on the employee's individual circumstances and the overall needs of the school. Evaluation of a teacher will be carried out by someone with QTS.
- 8.5 As a product of routine monitoring, evaluation and simply knowing their schools, headteachers and senior leaders will routinely be present wherever learning is taking place, including classrooms.
- 8.6 Teachers and Leaders who have responsibilities outside the classroom should also expect to have their performance of those responsibilities evaluated and assessed, as appropriate through the appraisal and day to day line management process.

Feedback

- 8.7 Employees will receive constructive feedback on their performance throughout the year and as soon as practicable after an observation (for schools based staff) has taken place or other evidence has come to light. This includes feedback following evaluation of learning and teaching activities. Following formal observations oral feedback will usually be given within a 24 hour period and written feedback will usually be provided within 5 working days. Please refer to appendix 1.
- 8.8 It is good practice for employees to receive regular reviews and feedback throughout the year to monitor progression against their appraisal targets to help ensure targets are met.
- 8.9 Feedback will highlight particular areas of strength, including where the employee has exceeded expectations as well as any areas that need attention.
- 8.10 Feedback given to employees should be followed up in writing. If the employee has concerns about the feedback they receive they should raise their concerns with the line manager/appraiser, where employees have raised concerns with their line

manager/appraiser but continue to have concerns they should put their concerns in writing to:

- The line/appraiser and Headteacher for school based staff
- The Line Manager/appraiser and the CEO for central staff
- Or where the Headteacher is the appraiser concerns should be addressed to the chair of the Local Governing Board
- Or where the appraiser is the CEO concerns should be raised to the MATs Board of Directors.

Transition to Capability

- 8.11 Where there are significant concerns about any aspects of an employee's performance, the appraiser/line manager will meet with the employee as set out within the MAT's Capability Procedure to discuss their concerns.
- 8.12 Where the capability process has been invoked, when progress is reviewed, if the appraiser/line manager is satisfied that the employee has made, or is making sufficient improvement, the capability process will be stopped and the appraisal process will continue as normal, with any remaining issues continuing to be addressed through that process.

9. Annual Assessment

- 9.1. Each employee'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, progress and development priorities may be reviewed and addressed on a regular basis throughout the year in interim meetings, normally once a term will be sufficient. Where changes or support is agreed this will be documented. Please see Line Management Meeting Template.
- 9.2 The employee will receive as soon as practicable following the end of each appraisal period. Following the appraisal meeting a written appraisal report/copy of the appraisal paperwork and agreed outcomes will be provided to the employee who will be given the opportunity to comment before it is signed as complete. This should be received by 31 October (31 December for the Headteacher, however it is good practice for the Headteacher's appraisals and appraisal reports to be complete prior to other school staff's appraisals taking place). This should include as appropriate:
- 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 relevant standards
 - An assessment of the employee's professional development needs and identification of any action that should be taken to address them
 - A recommendation on pay where relevant, this could include a recommendation and explanation to withhold an increment
- 9.3. If a target is missed through no fault of the individual employee consideration will be given to this factor in the written appraisal report. Individuals should not be penalised for factors that are outside their control.
- 9.4 Any recommendations on pay for school based staff will be made by the appraiser, the Headteacher will then refer these to the School's Local Governing Board for ratification. Any recommendation for pay increments for central staff will be referred

to the CEO who will refer to the MAT's Remuneration Committee/SMT for ratification where appropriate. Where the decision relates to the Headteacher the appraiser's recommendations will be presented to the school's local governing board for decision who will seek ratification from the MATs Central SMT. Any recommendations for pay increments for the CEO will be ratified by the full MAT's Remuneration Committee. For more details on pay decision processes please refer to the MAT's Pay and Reward Policy.

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

10. Appeals

- 10.1 Where an employee believes the targets set, or the assessment of their performance against set targets is unfair or inaccurate they should raise their concerns with the appraiser. If after raising concerns with the appraiser the issues are still unresolved the employee may outline their concerns in an appeal to the School's Local Governing Board, or for the central team to the CEO, unless the CEO is the appraiser then this should be outlined to the Board of Directors. A Governor/the CEO/a Non-Executive Director will then meet with the appraiser and appraisee to hear the concerns, make a conclusion and determine a solution. Where the appeal relates to pay progression please see the Pay and Reward Policy. The appeals process should be used only in exceptional circumstances. The main aim the appraisal is to help employees improve their performance.

11. Retention of Records

- 11.1 All written appraisal records should be accurate and will be confidentially retained in a secure place for six years and then destroyed. The Headteacher and School's Local Governing Board will take responsibility for ensuring this for school based staff within their allocated school.
- 11.2 Anonymous targets and training needs will be recorded and collated following appraisals and sent to HR in order to aid the MAT in strategically identifying training and development needs.

12. Review

- 12.1. This procedure will be reviewed to respond to any changes in the employment legislation at least every three years.

Appendix 1 – Observation Protocols for School Based Staff

The MAT 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
- hold Qualified teacher status where observing a qualified classroom teacher

The total period for observation arranged will be proportionate and have regard to the individual circumstances and needs. 'Proportionate to need' will be determined by the Headteacher. It is recommended that up to three observation of one hour in length should be sufficient in each academic year.

The arrangements for observation will be included as part of the setting of objectives and will include the amount of observation, specify its primary purpose, any particular aspects of performance which will be assessed, the duration of the observation, when during the appraisal period the observation will take place and who will conduct the observation.

Where evidence emerges which gives rise to concern during the appraisal period, additional observations may be arranged over and above those recorded at the beginning of the period subject to a meeting between the appraiser/line manager and individual employee.

Information gathered during the observation will be used, as appropriate, for a variety of purposes including to inform school self-evaluation and school improvement strategies in accordance with the school's commitment to streamlining data collection and minimising bureaucracy and workload burdens on staff.

In keeping with the commitment to ensure supportive and developmental observation, those being observed will be notified in advance, the dates for observations will be agreed in the initial appraisal meeting and/or at the Appraisal Review points across the year. Where a date needs to be changed, normally 5 working days' notice should be provided. Where classroom observations of teachers take place they will only be undertaken by persons with QTS. In addition, 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.

Oral feedback should be given as soon as possible after the observation and no later than the end of the following working day. It will be given during directed time (not PPA time) in a suitable, private environment. Written feedback should be provided within five working days of the observation taking place. If issues emerged from an observation that were not part of the focus of the observation as recorded in the original objective setting these should also be covered in the written feedback and the appropriate action taken in accordance with this procedure. The written record of feedback should also include the date on which the observation took place, the lesson observed and the length of the observation. The member of staff has the right to append written comments on the feedback document. No written notes in addition to the written feedback will be kept.

The MAT/Schools have a duty to evaluate the standards of teaching and learning and to ensure that proper standards of professional performance are established and maintained and have a right to drop in to inform their routine monitoring of the quality of learning and

teaching. Clearly the appraisal process is integral to fulfilling this duty and therefore agreed observations as part of this process may be sufficient.