



Appraisal and Performance Management

Introduction

This policy sets out the framework for a clear and consistent assessment of the overall performance of staff, including the Senior Leaders in Charge of School, and for supporting their development within the context of the Community Inclusive Trust's (CIT) plan for improving educational provision and performance, and the standards expected of staff. It also sets out the arrangements that will apply when staff fall below the levels of competence that are expected of them.

It is CIT's priority to ensure all employees are treated in a fair, consistent and supportive manner and any disability or other potentially relevant factors will be taken into consideration when measuring performance.

The purpose of the procedure is to achieve and maintain an acceptable standard of employee competence. Other than in cases of very serious incompetence, Employment Tribunals will expect employers to give employees reasonable opportunity to improve their performance to an acceptable level.

This procedure provides a framework for a clear and consistent assessment of employee performance, and for supporting staff development within the context of the Academy's plan for improving educational provision and performance. It should be read in conjunction with the Pay Policy, and it also makes reference the process for invoking the Capability Policy where there are serious concerns about an employee's performance that the appraisal procedure has been unable to address.

This procedure applies to employees at all levels with the exception of those who are employed on a fixed term basis for less than one year, and newly qualified Teachers during their induction year. It does not form part of any employee's contract of employment with the Academy and may be amended at any time (employees will be informed of any changes).

Appraisal within the CIT will be a supportive and developmental process designed to ensure all employees have the skills and support they need to perform their role effectively. It will also help employees to improve their professional practice and to achieve their career aspirations.

The appraisal process will be managed sensitively and with confidentiality. However, this does not override the need for the Academy to quality-assure the operation and effectiveness of the appraisal system.

Trade Union Officials

Where formal action is being considered against a trade union official, the case will be discussed with a full-time trade union officer/official in accordance with the ACAS Code of Practice. Advice in these cases will be sought from the HR provider.

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Roles and Responsibilities

Governors/Trust Board

- Adopting the policy, adapting it for local circumstances and monitoring its use.
- Forming and serving on an Appeals Committee (if the more formal Capability Procedure is required)
- Dealing with any capability concerns involving the HeadTeacher/Head of Site (again, if the more formal capability procedure is required)

HeadTeacher/Head of Site

- Managerial responsibility and accountability for the implementation of the policy and its delivery

Senior Leadership Team

- Required to be familiar with the policy and to promote and monitor the policy through their work and actions

Staff

- All employees will have access to, understand and implement this policy through their actions, supported by team discussions and training

HR Providers

- Provide advice on the application of the policy and support to the HeadTeacher/Head of Site and Governors

Managing the Process

All staff with any supervisory responsibilities should ensure that employees understand the standards of work that are expected of them and the need to identify as soon as possible any potential problems. With appropriate support and training, most issues can be dealt with using the Appraisal Policy.

The employee should be supported to improve or resolve the situation as soon as concerns become apparent. Employees may be supported purely through counselling discussion with the objective of encouragement and help. An employee should be given full opportunity to respond to any issues raised and to explain if anything is affecting their performance at work. All circumstances should be taken into account before proceeding further.

Serious Incapability

In exceptional cases, where a performance error or defect has serious consequences (e.g. if it results in a serious threat to the health and safety of students or other employees) the principles/procedures in this policy will not apply. Instead, the principles/procedure for gross misconduct as outlined in the Disciplinary Policy should be followed. This should include a full investigation.

Appraisal

Appraisal in the CIT will be a supportive and developmental process designed to ensure all staff have the skills and support they need to perform their role effectively. It will help to ensure that staff are able to continue to improve their professional practice and to develop as Teachers.

The Appraisal Period

The appraisal period will run for twelve months from September to July (January to January for Senior Leader in charge of School/HeadTeacher and CEO). The appraisal period for support staff will run from 1 April – 31 March 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 this period will be determined by the duration of their contract.

Appointing Appraisers

The CIT Trust Board, supported by a suitably skilled and/or experienced external adviser who has been appointed by the Trust Board for that purpose, will appraise the CEO.

In CIT, the task of appraising the HeadTeacher/Head of Site including the setting of objectives will be delegated to the CEO, supported by the Chair of the Local Governing Body (LGB).

HeadTeacher/Head of Site will decide who will appraise other staff.

Setting Objectives

The CEO's objectives will be set by the Trust Board after consultation with the external adviser.

Objectives for staff will be set before or as soon as practicable after, the start of each appraisal period. The objectives set for each member of staff will be Specific, Measurable, Achievable, Realistic and Time-bound (SMART) and will be appropriate to the employee's role and level of experience. The appraiser and appraisee will seek to agree on the objectives but, if that is not possible, the appraiser will determine the objectives. Objectives may be revised if circumstances change.

The objectives set for each member of staff (where relevant) will, if achieved, contribute to the CIT's plans for improving the CIT's educational provision and performance and improving the education of students at their schools. 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 member of staff will be informed of the standards against which their performance in that appraisal period will be assessed.

When targets are set, it should be made clear what the success criteria will be and how performance will be assessed: how the appraiser will judge whether the targets have been met.

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For Teachers only: With the exception of those who are qualified Teachers by virtue of holding and maintaining Qualified Teacher Learning and Skills (QTLS) status, all Teachers must be assessed against the set of standards contained in the document called “Teachers’ Standards” published in July 2011 (updated June 2013). The HeadTeacher or Local governing body (as appropriate) will need to consider whether certain Teachers should also be assessed against other sets of standards published by the Secretary of State that are relevant to them.

For Teachers who are qualified Teachers by virtue of holding QTLS status, it is for the Local Governing Body or HeadTeacher to decide which standards are most appropriate. Such Teachers may be assessed against the Teachers’ Standards, against any other sets of standards issued by the Secretary of State, against any other professional standards relevant to their performance or any combination of those three.

Reviewing Performance

Observation

CIT believes that observation of classroom practice and other responsibilities is important both as a way of assessing performance to identify any particular strengths and areas for development and of gaining useful information which can inform academy improvement more generally. All observation will be carried out in a supportive fashion.

In CIT Teachers’ performance will be regularly 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. Those with QTS will carry out classroom observation. In addition to formal observation, Headteacher/Head of Site or other leaders with responsibility for teaching standards may “drop-in” 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.

Teachers (including the Headteacher/Head of site) who have responsibilities outside the classroom should expect to have their performance of those responsibilities observed and assessed.

Other employees who have responsibilities inside or outside the classroom should also expect to have their performance of those responsibilities observed. Performance will also be assessed by reference to appropriate information sources (such as pupil achievement data) and other evidence relevant to the employee’s job role, such as financial metrics or survey feedback.

Employees will receive constructive feedback on their performance throughout the year and as soon as practicable after observation has taken place or other evidence has come to light. Feedback should acknowledge and praise areas of strength as well as highlighting any areas that need attention or where further support may be appropriate.

Performance should be informally reviewed on a regular basis throughout the year, as part of normal management practice. A mid-year review will also take place during the appraisal cycle, to assess performance against targets and consider whether any changes need to be made.

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Development and Support

An 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 take responsibility for improving their performance through appropriate professional development. Professional development will be linked to CIT improvement priorities and to the ongoing professional development needs and priorities of individual Teachers.

Feedback

Staff will receive constructive feedback on their performance throughout the year, and as soon as practicable, after 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. Where there are concerns about any aspects of the appraisee's performance, the appraiser will meet the appraisee formally to:

- give clear feedback about the nature and seriousness of the concerns;
- give the appraisee the opportunity to comment and discuss the concerns;
- agree on any support (e.g. 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 explain the implications and process if no – or insufficient – improvement is made.

When progress is reviewed, if the appraiser is satisfied the appraisee 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.

Transition to Capability

If the appraiser is not satisfied with the progress, the appraisee 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 will be invited to a formal capability meeting in-line with the Capability Policy.

Annual Assessment

Each appraisee's performance will be formally assessed in respect of each appraisal period. In assessing the performance of the CEO, the Trust Board must consult the external adviser. In assessing the performance of the Headteacher/Head of Site, the CEO must consult the LGB.

This assessment is the endpoint 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, which will take place.

The Teacher 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. In CIT, Teachers will receive their written appraisal reports by 31 October (January to January for Headteacher/Head of Site and CEO). Support staff will receive their annual appraisal report by 31 October.

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The appraisal report will include:

- details of the objectives for the appraisal period in question;
- an assessment of the appraisee's performance of their role and responsibilities against their objectives and any relevant standards;
- an assessment of the appraisee's professional development needs; and
- Identification of any action that should be taken to address them. A recommendation on pay where that is relevant (which may include 'no progression' whether or not the appraisee has been subject to formal capability action.

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

As outlined in the Pay Policy, decisions regarding pay increases [for Teachers] will be made with reference to the appraisal report and the pay recommendation it contains. The assessment of performance and an employee's professional development needs will inform the setting of targets for the following appraisal period.

Employees have a right of appeal against pay progression decisions, as set out in the Pay Policy.

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"Where Learning Comes First"

APPENDIX A: TEACHER PERFORMANCE TARGETS AND STANDARDS

Teacher Targets

Teachers' performance is assessed against the relevant standards as well as against their targets. Targets are likely to focus on:

- impact on pupil progress;
- impact on wider outcomes for pupils;
- improvements in specific elements of practice, such as behaviour management or lesson planning;
- impact on the effectiveness of Teachers or other staff and wider contribution to the work of the school, in conjunction with the SDP
- CIT Vision

Targets provide an important basis for assessing performance, but they are not the only one. A Teacher is also expected to meet all of the relevant standards.

Teachers' Standards

All Teachers at the Academy are expected to meet the Teachers' Standards as set out in the School Teachers' Pay and Conditions Document (STPCD) to be considered good Teachers. If the Academy has concerns that a Teacher may not be meeting the Teachers Standards appropriate action will be considered under either the Disciplinary or Capability procedure.

Post Threshold Standards

Teachers on the Upper Pay Range should be able to demonstrate that they are meeting the Post Threshold Standards as set out below and that they are continuing to meet the criteria for being paid on the Upper Pay Range, as set out in the STPCD and the Academy's Pay Policy.

(1) Professional Attributes

Frameworks

P1. Contribute significantly, where appropriate, to implementing workplace policies and practice and to promoting collective responsibility for their implementation.

(2) Professional knowledge and understanding

Teaching and learning

P2. Have an extensive knowledge and understanding of how to use and adapt a range of teaching, learning and behaviour management strategies, including how to personalise learning to provide opportunities for all learners to achieve their potential.

Assessment and monitoring

P3. Have an extensive knowledge and well-informed understanding of the assessment requirements and arrangements for the subjects/curriculum areas they teach, including those related to public examinations and qualifications.

P4. Have up-to-date knowledge and understanding of the different types of qualifications and specifications and their suitability for meeting learners' needs.

Subjects and curriculum

P5. Have a more developed knowledge and understanding of their subjects/curriculum areas and related pedagogy including how learning progresses within them.

Health and well-being

P6. Have sufficient depth of knowledge and experience to be able to give advice on the development and well-being of children and young people.

(3) Professional skills

Planning

P7. Be flexible, creative and adept at designing learning sequences within lessons and across lessons that are effective and consistently well-matched to learning targets and the needs of learners and which integrate recent developments, including those relating to subject/curriculum knowledge.

Teaching

P8. Have teaching skills which lead to learners achieving well relative to their prior attainment, making progress as good as, or better than, similar learners nationally.

Team working and collaboration

P9. Promote collaboration and work effectively as a team member.

P10. Contribute to the professional development of colleagues through coaching and mentoring, demonstrating effective practice, and providing advice and feedback.

Career Stage Expectations

The following matrix gives an indication of the standard of performance that the Academy expects Teachers to meet to achieve progression up the pay scale. This Pay scale may be supplemented by specific performance targets for all Teachers and the threshold standards for Teachers who wish to be paid and to progress on the Upper Pay Range. Teachers are not expected to evidence each aspect at their appraisal, but this may be required in the event of an appeal against a pay decision.

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Professional Area	M1-2	M3-4	M5-6
Professional Practice	Teaching over time good.	Teaching over time good some with outstanding features.	Teaching over time good many with outstanding features.
Professional Outcomes (Student Outcomes)	Almost all students progress in-line with school expectations with evidence of monitoring, tracking and intervention.	Almost all students progress in-line with school expectations with evidence of monitoring, tracking and intervention.	Almost all students progress in-line with school expectations; some exceed them with evidence of monitoring, tracking and intervention.
Professional Relationships	Positive working relationships with students, colleagues and parents.	Positive working relationships with students, colleagues and parents which are securely focused on improving student outcomes.	Professional relationships with students, colleagues and parents lead to outstanding class provision.
Professional Development	Able, with support, to identify key professional development needs and respond to advice and feedback. Participate in CPD. Can produce student resources with guidance.	Take a proactive role in accessing relevant support and CPD from colleagues, able to keep up-to-date with current pedagogy. Actively participates in relevant training. Can produce effective student resources.	Fully competent practitioner, able to keep up-to-date with current pedagogy and adapt practice accordingly. Actively participates in training and can support other colleagues. Can produce effective student resources.
Professional Conduct	Meets all standards	Meets all standards	Meets all standards

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UPS1	UPS2	UPS3
Annual Performance Management Review-can be assessed against higher level criteria (UPR 2 only) after two successful appraisals	Annual Performance Management Review-can be assessed against higher level criteria (UPR 3) after two successful appraisals	
To consistently be a good or better classroom practitioner	To be an outstanding practitioner majority of the time	To consistently demonstrate outstanding practice understands how it's achieved. To use this knowledge to support the development of colleagues
Lesson Observations, monitoring and performance management indicate that teaching and support for learning is consistently good in all aspects	Lessons observations, monitoring and performance management indicate that teaching and support for learning is outstanding in all or nearly all aspects	Lesson observations, monitoring and performance management indicate that teaching and support for learning is outstanding in all aspects
To provide advice and guidance to colleagues on: Teaching and learning; personal development, behaviour and welfare; safeguarding and SMSC (spiritual, moral, social and cultural development).	To provide high-quality advice and guidance to colleagues on: Teaching and learning; personal development, behaviour and welfare; safeguarding and SMSC	To make a distinctive contribution to the raising of standards and to pupil progress across the school through high-quality advice and guidance to colleagues on: Teaching and learning; personal development, behaviour and welfare; safeguarding and SMSC
C.I.T. facilitates its experience Teachers in contributing to the professional development of colleagues through coaching and mentoring, demonstrating effective practice, and providing advice and feedback.		

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UPS1	UPS2	UPS3
To investigate, research and disseminate good practice.	To proactively investigate, research and collaboratively disseminate good practice.	To lead in proactive investigation, research and dissemination of good practice.
<p>I am reflective, innovative and outward looking. This includes research and published reports to inform planning. I am responsive to curriculum developments and actively seek partnership work with other schools building on national and local examples of best practice</p>		
To proactively seek opportunities for improvement, in own practice. To support colleagues in improvement in their practice.	To proactively seek opportunities for improvement, whether in own or others' practice.	To act as a respected source of guidance on how to embed improvements in own or others' practice.
<p>Lead experienced staff make well-founded appraisals of situations upon which they are asked to advise, applying high-level skills in classroom observation to evaluate and advise colleagues on their work and devising and implementing effective strategies to meet the learning needs of children and young people leading improvements in pupil outcomes</p>		
To contribute to the life of the school and to foster collegiate school activity.	To play an active role in the life of the school and to foster collegiate school activity.	To play a critical role in the life of the school, and in particular to lead and foster collegiate school activity.
<p>I can evidence how I make a significant contribution to the wider life and ethos of the school by using educational and pastoral opportunities through assemblies, tutor time and class teaching effectively to maximise respect for cultural diversity, create a positive ethos and to secure high-levels of care. I work closely with team members and facilitate opportunities for working with colleagues, managing their work where appropriate and sharing the developments of effective practice with them in the context of performance management. I recognise successful completion of significant pieces of work or work activities by team members and I use praise effectively, where due, as a motivational tool. I identify and share information constructively on opportunities for improvement in team practice.</p>		

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UPS1	UPS2	UPS3
To take a lead in a school improvement initiative.	To play a significant role in a school improvement initiative.	To make a major contribution to the strategic development of school improvement.
Performance management records show that I make a significant contribution to the school's overall capacity to improve.		
To promote the school in a positive light with all its stakeholders.	To work consistently to promote the school in a positive light with all its stakeholders.	To act as an ambassador for the school in its relations with stakeholders as required.
I work with colleagues on the staff, learners and all stakeholders in the school to develop and implement a shared understanding of the school's vision and positive values. I fully understand my role in this process, and I work with learners and colleagues to support them in working towards exemplifying this clear vision		

Teaching over time will be judged on the following:

1. Progress
2. Outcomes
3. Behaviour Management
4. Lesson Observations
5. Work Scrutiny
6. Record Keeping