



Appraisal Policy September 2017

Office use

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Associated documents:			
Links to:			
<ul style="list-style-type: none"> ▪ School Teachers' Pay and Conditions Document (STPCD). ▪ DALP Teachers Pay Policy ▪ DALP General Principles Policy and Procedures 			

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1. **Policy Statement and Introduction**

Appraisal is at the heart of successful people management and development practice and contributes to the effective management of individuals and teams in order to achieve high levels of organisational performance.

2. **Scope and Purpose of the Policy**

This policy sets out the framework for a consistent review and assessment of the overall performance for all members of staff, it is important that this process is integrated with Diverse Academies Learning Partnership values and goals, academy improvement plans and relevant job competencies/standards. In short the process of appraisal should ensure a member of staff:

- Knows, understands and agrees what is expected of them
- Have the skills and ability to deliver on these expectations
- Are supported by the organisation and academy to develop and meet those expectations
- Are given feedback on their performance
- Have the opportunity to discuss and contribute to individual, team, academy and organisational objectives
- Are trusted to carry out their job

3. **Appraisal Arrangements**

The arrangements outlined in this policy and procedure should be read in conjunction with the 'Teachers Pay Policy' and Professional Standards. Where teachers are eligible for pay progression, the assessment of performance against targets, personal improvement objectives and teacher standards, will form the basis on which the recommendation will be made by the appraiser.

All members of staff are included in these arrangements with the exception of NQTs who will be managed and assessed through the NQT induction process.

3.1 **Feedback**

Having discussions with a member of staff regarding their performance is not an annual process, it is expected that there will be on-going discussions with members of staff throughout the year to ensure there is clarity of expectation as well as positive and constructive feedback, this may require appraisal documentation to be amended and updated. The template personal improvement plan (PIP) in Appendix B of this policy is designed to be used as a working document which is regularly reviewed by a member of staff.

It is expected that this policy is implemented consistently across DALP, the 'tight' practices in relation to carrying out appraisal discussions are:

- All members of staff should have an agreed PIP
- Criteria used to measure the impact of objectives will be agreed
- Members of staff should ensure they have carried out a "self-review" in relation to their job role including the use of professional competencies and/or standards
- Support and development required to meet objectives as well as career/future aspirations will be discussed
- Support in relation to health and wellbeing will be discussed

3.2 Setting objectives

The process of setting objectives should consider whether the objective is (SMART) Specific, Measurable, Achievable, Realistic and Timed and is appropriate to the role and level.

Objectives should take account of specific technical competencies or national standards i.e. Teacher / Head Teacher/Principal / Professional Standards for support staff.

When setting objectives there should be consideration and assessment in relation to each individual's aspirations and work life balance.

3.3 Support and development

Appraisal is a supportive process and should be used to inform continuing professional development. If the appraisal raises any issues with regards to health, wellbeing or role adjustment the appraiser should discuss this with the appraisee and seek HR advice and support where necessary.

The appraiser should discuss and agree the training and development plan with the appraisee. Training should relate to the development needs identified and discuss whether there are any specific professional/Technical CPD requirements. All members of staff should review whether they have completed statutory/mandatory training i.e. safeguarding, health and safety at work.

3.4 New appointments or transfers

A new member of staff joining a DALP academy will be supported through the arrangements outlined in the Induction / Probation Policy.

Where a member of staff transfers to a new post within the academy part way through a cycle, the Principal/Executive Principal, in the case where the member of staff is the Principal/Executive, the CEO or DCEO shall determine the arrangements for part year review and objective setting.

3.5 Fixed and temporary contracts

A member of staff who is employed on a fixed term or temporary contract (less than one year) will have their performance managed in accordance with the principles underpinning this policy. The timescales and duration of review will vary depending on the length of contract.

3.6 Managing unsatisfactory performance

It is expected that where concerns arise in relation to performance that these are addressed as soon as possible and through informal support and agreed action plans improvement is made within an agreed period of time. However for more serious cases of underperformance or where performance has not improved through support and action planning, the Capability Procedure will be followed.

4. APPRAISAL PROCEDURE

4.1 The appraisal period

The appraisal period will run from 1st October to 30th September.

4.2 Annual Review

The annual review will take place during October and be completed prior to the October half term. As part of the annual review process recommendations with regards to pay progression as well as applications to access threshold points for teachers will be summarised and presented to academy pay committees after the October half term break.

4.3 Interim Review

There should be regular discussion and professional dialogue with all members of staff throughout the year, a formal interim review will be carried out in the Spring Term, any issues with regards performance, capability and pay progression will be summarised to the pay committee during the spring term.

4.4 General Review / Assessment Principles

A key feature of any appraisal is self-review, prior to the formal appraisal meeting the appraisee will complete the personal improvement plan and obtain supportive evidence linked with previously agreed measurement/success criteria, these are likely to include:

- Embedding DALP/ academy cultural values (e.g. safeguarding)
- Impact of performance linked with success criteria
- Review of objectives / actions
- A summary of monitoring information collected during the year
- Most recent statistical data
- Most recent external test /examination results
- Academy Improvement Plan
- Latest OFSTED
- Any other relevant monitoring information

Where appraisal reviews are delegated to line managers and other appraisers, personal improvement plans will need to be moderated to check that the plans:

- Are consistent in expectation between those who have similar experience and responsibility
- Comply with this policy and equality legislation
- Appropriately assess the teachers' performance of their role and responsibilities against the relevant Teacher Standards and Professional Standards
- Will ensure that the objectives set for each teacher, will, if achieved, contribute to the academy improvement plan
- Appropriately assess leadership and management and the impact of these roles

All teachers without management or leadership responsibilities will normally have three objectives, but by agreement this may be varied.

Leadership and management roles will normally have three/four objectives.

Principals will normally have six objectives

Executive Principals will have eight objectives.

5 Roles and Responsibilities

5.1 The Teacher –

The Principal/Executive Principal will decide in each academy who will appraise teachers.

The Principal/Executive Principal will appraise leadership roles.

The DCEO will appraise Principals/Executive Principals and Corporate 'Teaching Leadership Roles'

5.2 Support members of staff –

The Principal will decide in each academy who will appraise support members of staff

The Principal will appraise senior business managers / associate leaders

The Director of Finance and Resources will appraise appropriate corporate roles

The **Chief Operating Officer** will appraise appropriate corporate roles

5.3 Corporate / Executive members of staff –

The DALP Board will appraise the CEO

The CEO will appraise the Deputy CEO

The CEO will appraise the Director of Finance and **Chief Operating Officer**

Appraisal of the CEO will be carried out by;

- The Chair of the DALP Board
- The Chair of the DAT Board
- The Chair from the NCEA Trust Board.
- 1 DAT Board Director
- Appointed External Advisor

6 Review of the policy

This Policy will be reviewed when appropriate but at least annually, we will monitor the application and outcomes of this policy to ensure it is working effectively in line with

DALP General Employment Policy / Procedure and Principles. Please see Appendix A.

7. Appendix A –

General Principles Underlying all Employment Policies and Procedures -

The following general principles should be applied when following all employment policies and procedures.

1. Confidentiality

All employment processes will be treated with confidentiality. However, the desire for confidentiality does not override the need for appropriate a member of staff and governors to be involved in the process in order to check and audit the policy / procedure is being implemented fairly and effectively.

2. Consistency of Treatment and Fairness

In line with DALP values, all employment policies are developed and implemented to ensure consistency of treatment and fairness with reference to all relevant equality and human rights legislation.

3. Definitions

All references to “academy” mean any academy within the Diverse Academies Learning Partnership.

4. Grievances

Where a member of staff raises a grievance during any procedure the procedure may be temporarily suspended in order to deal with the grievance. Where the grievance and procedure relate to each other, it may be appropriate to deal with both issues concurrently.

5. Monitoring and Evaluation

The Trust, Principal and governing body will monitor the operation and effectiveness of all employment policies and procedures.

6. Record Retention

The academy will ensure that all employment records are retained in a secure place for the appropriate period of time (see HR records and retention document) and then destroyed.

8. APPENDIX B



DIVERSE ACADEMIES LEARNING PARTNERSHIP – PERSONAL IMPROVEMENT PLAN

Objective:			
Success Criteria:			
Actions to meet success criteria:	Actions completed by:	Mid-year review of actions:	End of year review/additions:
Mid-year review and evaluation of impact			
[signed off by appraiser and appraise]			
Annual review and evaluation of impact			
[signed off by appraiser and appraise]			

9. APPENDIX C

DIVERSE ACADEMIES LEARNING PARTNERSHIP - Defining 'SMART' PIP Objectives and Success criteria for senior DALP leaders

Objective setting

An objective has to be utterly clear and fairly broad – not unlike a lesson/learning objective.

Exemplar objective

To improve the monitoring of lesson quality across the academy

Success criteria

A success criterion has to be utterly clear – what will success look like? How will it be measured? How will I know I have been successful?

Exemplar success criteria

1. The VP for T&L quality has secure, signed off PIP and SLDP in place
2. We have an agreed lesson observation/learning walk/lessons visit protocol/process which is embedded in our QA processes
3. Evidence from QA data indicates clear improvement in TLA across the academy
4. Governors, DALP exec, Academy leaders and a member of staffs are all informed as to progress at appropriate calendar points throughout 2015-2016

Actions to meet success criteria

Actions have to be utterly clear – what do I need to do to ensure success? This is, quite literally, a list of steps to be taken, by whom, by when and how.

Exemplar actions to meet success criteria

<i>Actions to meet success criteria</i>	<i>Actions completed by</i>	<i>Mid-year review of actions/additions</i>	<i>End of year review/additions</i>
1. VP produces high quality PIP and SLDP – signed off by Principal	Early October 2016		
2. VP reviews/revises lesson observation/learning walk/lesson visits protocol.	Early October 2016		
3. VP consults academy a member of staffs on revisions defined in 2	Mid October 2016		
4. VP amends internal QA process in light of 2 and 3	Early November 2016		
5. VP consults governors' portfolio team viz. amended process in 2 and 3	Early November 2016		
6. VP and SLT lead middle leader training on amended process in 2 and 3	Early November 2016		
7. VP uses regular data point information to inform Principal, SLT, middle leaders, AIS, AB re progress in lesson quality	All data points, AIS and AB meetings		

Mid-year review and evaluation of impact

In order to produce an effective summary:

1. Return to the success criteria and the actions.
2. What progress has been made against SC 1-4?
3. How do you know?
4. What is the evidence to substantiate your summary at this stage in the year?
5. What additional SC or actions, if any, need to be added? Why? How will their impact be measured?

Annual review and evaluation of impact

In order to produce an effective summary:

1. Return to the success criteria and the actions.
2. What progress has been made against SC 1-4 and any additional SCs/actions?
3. How do you know?
4. What is the additional evidence (since March 2017) to substantiate your final summary?
5. Does any of the SC s or actions need to be included in your 2017-2018 PIP? With the same, or different, objective?

Debbie Clinton
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