



Appraisal Policy & Procedure

This policy was adopted from NYES HR template dated:	August 2021
This policy was adopted by the Academy/Trust on:	October 2024
Estimated next review date by NYES HR:	<insert date here>
Estimated next review date by YEAT:	Autumn 2026

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1. Introduction

- 1.1. Appraisal plays an important role in the communication and performance management processes within Yorkshire Endeavour Academy Trust. It is key to supporting the Trust's commitment to developing its staff and to delivering excellent educational provision to pupils.
- 1.2. This policy sets out the framework for a clear and consistent assessment of the overall performance of all staff employed by Yorkshire Endeavour Academy Trust and for supporting their development needs. The policy provides a process through which staff performance targets and development objectives may be linked to individual school and the overall Trust improvement plan and priorities.
- 1.3. The assessment of performance reached through this policy will contribute to pay decision in line with the Trust's Pay Policy.

2. Application

- 2.1. This policy applies to all employees of the Trust with the following exceptions:
 - Early Career Teachers undergoing their statutory induction period
 - Newly appointed support staff within their probationary period
 - Staff employed on a contract of less than one term
 - Any member of staff who is the subject of Developing Performance or Capability processes
 - Supply, casual and relief workers who work rarely within the Trust's schools
- 2.2. Modified appraisal arrangements will apply to staff who have only been at work for part of the appraisal cycle. This will include employees:
 - on parental leave including maternity and adoption leave
 - on long-term sickness absence
 - who join or leave the Trust part way through the year
 - who come out of other arrangements during the year including probation, statutory induction and developing performance/capability

- 2.3 Generally, appraisal is undertaken on an individual basis, however, for some staff a group appraisal process may be more appropriate.

3. Guiding principles

- 3.1. In developing and applying this policy, the Trust is committed to ensuring fairness and consistency of treatment within the prevailing legal framework applicable to all employers and in line with the Trust's equality policy.
- 3.2. The appraisal process and the supporting documentation will be treated in the strictest confidence at all times. Only those who need access to such information to enable them to discharge their responsibilities will be granted access.
- 3.3. Appraisal should be a two-way process and actions and outcomes should be agreed between the appraisee and the appraiser. Any rights of appeal and the process to follow are detailed within the relevant section.

4. Roles and Responsibilities

The Role of the Appraiser

- 4.1. It is the responsibility of the appraiser to ensure that appraisal meetings take place and that a record of these meetings is produced. As a minimum there will be an annual planning and review meeting and ideally at least one interim review.
- 4.2. Appraisers will be responsible for:
- Assessing appraisees against their performance targets and development objectives
 - Assessing appraisees against the relevant competency framework or the Teachers Standards on the basis of their career stage
 - Agreeing new performance targets linked to team, school and Trust strategic objectives
 - Agreeing development objectives relevant to the performance targets and suggesting how these will be met
 - Making a recommendation regarding salary progression

The Role of the Appraisee

- 4.3. The appraisee is expected to support and participate in the appraisal process and any agreed development activities arising from the process.
- 4.4. In addition, appraisees should self-assess their performance and progress made towards performance and development targets and gather evidence and information to support their assessments. Appraisees should prepare for any appraisal meetings and be prepared to discuss and/or evidence their self-assessments.

Appraisal of the Chief Executive Officer

- 4.5. The appraisal of the Executive Headteacher/Chief Executive Officer will be carried out by a sub-group of Trustees (min1) plus an external educational advisor

Appraisal of Headteachers/Heads of School

- 4.6. The appraisal of the Headteachers/Heads of School will be undertaken by the Executive Headteacher/CEO. .

Appraisal of other school employees

The Headteacher/Head of School is responsible for the appraisal of all other employees within their school but may delegate this responsibility, for some staff, to line managers/SLT line managers. Where employees have fractional contracts with two different line managers, they may undergo two appraisals.

Appraisal of centrally employed Trust staff

- 4.7. The appraisal of centrally employed staff will be the responsibility of the Chief Executive Officer. They may delegate the role of appraiser to appropriate line managers.

Group appraisal

- 4.8. Group appraisal may be relevant for employees who work as a team and who are likely to have group objectives; cleaning teams, midday supervisors, catering staff for example. The process for group appraisal is the same as that for individuals in most respects except that meetings take place with the whole group and targets are set at a team rather than individual level. In such cases all members of the group will have the same performance targets but, depending on previous experience and training, may have differing development objectives.
- 4.9. The Headteacher/Head of School will determine which teams within their school will have group appraisal if applicable

Appeals

- 4.10. Should a member of staff object to the appointment of their appraiser, they should put the grounds for their objection in writing to the Headteacher/Head of School/Executive Headteacher/CEO who will consider this and make a determination. The decision of this individual is final and not subject to further appeal.

5. The Appraisal Process

- 5.1. The process provides an opportunity for the employee and their appraiser to have an in-depth, two-way, confidential discussion regarding the employee's performance and job role.
- 5.2. Issues of concern regarding performance should be addressed as and when they arise as part of normal day-to-day management and, therefore, should not be first raised at appraisal meetings. Any concerns about performance that may pose a risk to pay progression should be signalled at an early stage.

The Appraisal Period

- 5.3. The appraisal period for all staff will be 12 months. However, the Trust operates different appraisal periods for different groups of staff as follows:
- For teaching staff the appraisal period will run from September to August
 - For support staff the appraisal period will run from April to March
- 5.4. Where a member of staff starts their employment with the Trust part way through an appraisal cycle, their appraisal arrangements for the remainder of the appraisal period will be determined by the relevant Headteacher, for school-based staff, or the CEO for centrally employed staff. The aim will be to bring their cycle into line with the cycle for

other staff as soon as possible. This may also apply to staff starting or returning from maternity or long-term sickness absence part-way through the appraisal period or those successfully completing their statutory induction or probationary period or coming out of Developing Performance or Capability processes. In such situations either shorter-term or longer-term targets may be set, linked to the end of the current or next appraisal cycle respectively.

- 5.5. Where an employee is moving between roles within the school then there will be a review of their performance and development targets and their appraisal arrangements.
- 5.6. Where an individual is employed on a fixed term contract for a period between 1 term and 12 months, the length of the appraisal period will be determined by the duration of the contract.
- 5.7. Where an appraiser is absent for an extended period or leaves the employment of the Trust during the cycle, the CEO and/or the relevant Headteacher/Head of School will ensure that alternative arrangements are put in place and communicated to the appraisee.

6. The Planning and Review Meeting

- 6.1. The performance of all staff will be formally assessed in respect of each appraisal period. This assessment is the end point to the annual appraisal process and will take place at the planning and review meeting.
- 6.2. The areas for discussion should be agreed at the start of the meeting as should the arrangements for making notes and writing up appraisal records.
- 6.3. The appraisal record may include:
 - Review of achievement against the previous year's objectives and targets and relevant competency framework/the teaching standards
 - A pay recommendation following assessment of achievement
 - Agreement of work-related performance and development targets for the coming year linked to department, school and Trust improvement plans
 - Agreement of how targets will be assessed, and evidence of achievement gathered
 - Agreement of how development will be supported, and targets met
- 6.4. The appraisee will be provided with a copy of the appraisal record following the planning and review meeting.

7. Interim Review

- 7.1. There will usually be at least one interim review during each appraisal cycle to review progress against targets and provide guidance and support.
- 7.2. Additional interim reviews may be held if there is a need to review targets due to changing circumstances or the appraisee moving to a different job role. If there are concerns regarding a lack of progress made towards performance targets, additional reviews may be arranged to support the appraisee and monitor their progress. The number of additional interim reviews will be reasonable in the circumstances.
- 7.3. The appraisee will be provided with a record of the interim review following the meeting.

8. Performance and Development Targets

- 8.1. The performance and development targets set will be relevant to the individual's job role and contribute to the school and Trust strategic objectives.
- 8.2. Every effort will be made to reach agreement regarding an individual's targets and they should only be imposed on an appraisee as a last resort. In cases where there is a disagreement of this sort, the Headteacher/Head of School/Executive Headteacher/CEO may make a final determination regarding the suitability of targets. There is no further appeal regarding the suitability of targets.

Gathering the evidence

- 8.3. The methods of measurement and collection of evidence will be agreed at the planning and review meeting at the beginning of the appraisal cycle when targets are agreed. A range of methods will be used to assess the performance of appraisees and over-reliance will not be placed on any one particular method.
- 8.4. Schools within the Trust may use observation of classroom practice and other responsibilities as a way of assessing teachers' performance. Classroom observation of teachers will be carried out by those with QTS.
- 8.5. Observation may also be used for the appraisal of roles supporting teaching and learning in the classroom and will be carried out by line managers/ appraisers.

9. Interaction with the Pay Policy

- 9.1. The assessment of performance reached through the appraisal process will contribute to pay and incremental progression decisions under the Trust's pay policy. The pay policy details the other criteria which will be taken into account when considering pay/incremental progression.
- 9.2. For teaching staff to meet the appraisal criteria for pay progression, they will need to have a successful appraisal and met the Teachers' Standards. Due consideration will be given to unmet objectives that are due to reasons beyond the teacher's control.
- 9.3. For support staff to meet the appraisal criteria, they will need to have a successful appraisal including assessment against any relevant competency framework.
- 9.4. Should an employee disagree with their individual pay recommendation, they should discuss this, in the first instance with their appraiser. Any appeals relating to pay recommendations will be dealt with under the appeals process in the Trust's Pay Policy.
- 9.5. The CEO and/or individual Headteachers/Heads of School may moderate appraisal documents to ensure that outcome and pay recommendations are consistent and performance targets are appropriate.

10. Interaction with the Developing Performance and Capability Policies

- 10.1. Where an employee is subject to either of these policies the normal appraisal process will be suspended for the duration of actions under these policies. In all cases the employee will be informed of the impact on pay progression of developing performance and capability processes.