Appraisal Policy & Procedure

Last Update: March 2020 (version 3.0)

Contents **Page**

1. Vision and Values 4
2. Purpose 4
3. Scope 4
4. Equal Opportunities 5
5. Responsibilities 5
6. Appraisal 5
7. The Appraisal Period 6
8. Appointing Appraisers 6
9. Setting Objectives 6
10. Reviewing Performance 7
    10.1. Observation (school based roles)
    10.2. Development and Support
    10.3. Feedback
11. Appeals Procedure 8
12. Transition to Capability 9
13. Annual Assessment 9
14. Regular Feedback 9
15. Confidentiality 10
16. Grievances 10
17. Monitoring and Evaluation 10
18. Record Keeping 10
19. Review 11

Appendix 1

Responsibilities and Panel Formation 12

Document Control

Changes History

Version	Date	Amended by	Recipients	Purpose
1.0			All Plymouth CAST staff	New Policy
1.1	March 2019	Human Resources	JCC Union review	Changes to Scheme of Delegation/SHBM roles
2.0	March 2019		CAST Board	Changes to Scheme of Delegation/SHBM roles
3.0	March 2020		CAST Board	Changes to Scheme of Delegation/SHBM roles

Approvals

This policy requires the following approvals:

Board	Chair	CEO	Date Approved	Version	Date for Review
*			29th March 2019	2.0	March 2020
*			28th February 2020	3.0	March 2021

National/Local Policy

☐ This policy must be localised by Academies

☒ This policy must not be changed, it is a CAST/National Policy (only change logo, contact details and any yellow highlights)

Position with the Unions

Does the policy require consultation with the National Unions under our recognition agreement? ☒ Yes ☐ No
If yes, the policy status is: ☒ Consulted and Approved ☐ Consulted and Not Approved ☐ Awaiting Consultation

Distribution

This draft document has been distributed to:

Position	Date	Version

1. Vision and Values

1.1 Plymouth CAST is a multi-academy trust of Catholic schools which is part of the mission of the Catholic Church dedicated to human flourishing and the building of a kingdom of peace, truth and justice. The Trust is to be conducted in all aspects in accordance with canon law and the teachings of the Roman Catholic Church and at all times to serve as a witness to the Catholic faith in Our Lord Jesus Christ.

1.2 Our vision and values are derived from our identity as a Catholic Trust. Central to our vision is the dignity of the human person, especially the most vulnerable. Our academies are dedicated to providing an education and formation where all our pupils and young people flourish in a safe, nurturing, enriching environment. All governors in our academies are expected to be familiar with the vision, mission, values and principles of the Trust and not in any way to undermine them. They should support and promote the vision and conduct themselves at all times in school and on school business according to the vision and principles of the Trust

1.3 Plymouth CAST expects all its employees to recognise their obligations to each school within the Multi-Academy Trust, the public, pupils and other employees and to provide consistently high standards of education and performance at all times and in accordance with Plymouth CAST's vision, mission and principles.

2. Purpose

2.1 To achieve high quality and effective education and good employee relations this policy aims to:

2.1.1 set out the framework for the clear and consistent assessment of the overall performance of all employees and for supporting their development within the context of improving educational provision and performance, the standards expected within Plymouth CAST's schools and the principles of Catholic Social Teaching.

2.1.2 set out the arrangements that will apply when employees fall below the levels of competence that are expected of them.

3. Scope

3.1 This policy applies to all Plymouth CAST employees.

3.2 This policy does not apply to those on contracts of less than one term, those undergoing induction (i.e. NQTs) and those who are subject to a formal capability procedure under the Capability Policy.

3.3 Employees on a contract of less than one year will have their performance reviewed as appropriate, taking account of the duration of the contract.

3.4 This policy will apply following the successful completion of the probation period.

3.5 Employees who are going to be away from work on maternity, paternity, adoption or parental leave will have their appraisal before they start their leave or upon return to work, whichever is agreed between the employee and Head teacher.

3.6 Employees who are away from work due to sickness will have their appraisal upon return to work.

4. Equal Opportunities

4.1. The Appraisal Policy must always be applied fairly and in accordance with employment law and Plymouth CAST Equal Opportunities Policy including the duty to make reasonable adjustments for disabled employees.

5. Responsibilities

5.1. The day to day operation of each Plymouth CAST school is the responsibility of the Head teacher/Executive Headteacher, with support and challenge being provided by the Education and Standards Manager and this is discharged through each school's Senior Management Team. It is important that pupils, staff, parents and local stakeholders recognise and support this. However, ultimate accountability for Plymouth CAST as a whole Multi-Academy Trust rests with the Plymouth CAST Board. Therefore any decisions that have an impact on resources, such as staffing, structures, or compliance must be referred to the Plymouth CAST Board if they exceed delegated authority. This is essential to ensure that the legal obligations of Plymouth CAST are met and that the Trust maintains robust systems and processes that deliver effective governance.

5.2. It is the school Education and Standards Manager's (ESM's) responsibility to work closely with the Head teacher management team to ensure everyone concerned has a full and accurate picture of each school's strengths and any areas for improvement. ESMs will work with schools to identify strategies for improvement, with support, where appropriate, from within the Plymouth CAST network.

5.3. It is the role of Plymouth CAST HR (and where appropriate, the School Business Manager) to provide clear HR policies, procedures and guidance, to support schools in the delivery of consistent and high standards of performance within a dignified working environment, in which all employees can take pride and enjoyment in their work.

5.4. Appendix 1 provides examples of Delegated Responsibilities and Panel Formations.

5.5. Management and employee representatives who may be involved in appraisal matters should be trained and competent for the task. They should be familiar with the provisions of the Appraisal Policy, and know how to conduct or represent at appraisal or formal capability hearings.

5.6. School ESMs and HR should be informed about matters which might lead to a formal procedure and ultimately capability proceedings. For any panel hearing the school must ensure an HR Adviser is aware of the process and in attendance or have delegated attendance to a suitably qualified staff member.

6. Appraisal

6.1 Appraisal in all Plymouth CAST schools and amongst the central team will be a supportive and developmental process, designed to ensure that all teachers and support staff have the skills and support they need to carry out their roles effectively. It will help to ensure

that all employees are able to reflect on and continually improve their professional practice.

7. The Appraisal Period

7.1 The appraisal period will run for twelve months from 1st September to 31st August.

7.2 There is flexibility to have a longer or shorter appraisal period when staff begin or end employment.

7.3 In instances where there is redeployment within Plymouth CAST schools, the personnel file, to include appraisal records will be transferred to the employee's new school.

8. Appointing Appraisers

8.1 The Head teacher will be appraised by the school's ESM, or other appropriate nominated person, supported by the Local Governing Board.

8.2 The Head teacher will decide who will appraise each employee, taking account of the management structure.

8.3 In Plymouth CAST's central team, the management structure will determine who will appraise each employee.

8.4 Care must be taken when appointing appraisers to ensure that there is no known conflict of interest and that they have a proper understanding of the appraisee and their role. An appraisee must put in writing to the Head teacher any objections they have with the allocation of their appraiser.

8.5 Consideration should be given to limiting the number of appraisals a manager is required to complete.

9. Setting Objectives

9.1 In schools, the Head teacher's objectives will be set by the school's ESM, or other appropriate nominated person.

9.2 Objectives for each employee will be set before, or as soon as practicable after, the start of each appraisal period. The objectives will be appropriate to the employee's role and level of experience. The appraiser and employee 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.

9.3 In schools, the objectives for each employee will be set with reference to the school's improvement plan and therefore, if achieved, will contribute to improving the school's educational provision.

9.4 In the central support team, the objectives set for each employee will, if achieved, contribute to Plymouth CAST's mission of improving educational provision and performance, and the standards expected within Plymouth CAST's schools. The objectives set will be consistent with the strategic priorities of Plymouth CAST and the postholder's role.

9.5 All teachers holding Qualified Teacher Status (QTS) must be assessed against the set of standards contained in the national document called "Teachers' Standards". The Head teacher/Executive Headteacher or ESM, or other appropriate nominated person, will need to consider whether certain teachers should also be assessed against other relevant standards published by the Secretary of State.

9.6 For teachers who are qualified by virtue of holding Qualified Teacher Learning and Skills (QTLS) status, it is for the Head teacher in consultation with the ESM to decide which standards are most appropriate.

9.7 All other employees will be assessed against standards which are relevant to their role.

10. Reviewing Performance

10.1 Observation (school based roles)

10.1.1 Plymouth CAST believes that observation of classroom practice and other responsibilities is important, both as a way of assessing teacher and support staff performance to identify any particular strengths and areas for development, and of gaining useful information which can inform school improvement more generally. All observations will be carried out in a supportive fashion.

10.1.2 Plymouth CAST expects that employee performance will, where appropriate, be regularly observed but the amount and type of observation will depend on the individual circumstances and the needs of each school. Classroom observation will be carried out by those with QTS.

10.1.3 Teachers (including the Head teacher) who have responsibilities outside the classroom, for which they are paid, should also expect to have their performance of those responsibilities observed and assessed.

10.2 Development and Support

10.2.1 Appraisal is a supportive process which will be used to inform continuing professional development. Plymouth CAST wishes to encourage a culture in which all employees take responsibility for improving their performance through appropriate professional development. Professional development will be linked to school or central team improvement priorities and to the ongoing professional development needs and priorities of the individual.

10.3 Feedback

10.3.1 Plymouth CAST 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 will highlight particular areas of strength as well as any areas that need attention.

10.3.2 Where there are concerns about aspects of an individual's performance, the appraiser will meet with the employee formally to:

10.3.2.1 give clear feedback to the employee about the nature and seriousness of the concerns;
10.3.2.2 give the employee the opportunity to comment and discuss the concerns;
10.3.2.3 agree any support (e.g. coaching, mentoring, structured observations), that will be provided to help resolve those specific concerns;

10.3.2.4 make clear how, and by when, the appraiser will review progress. Sufficient time will be given for improvement to be achieved taking into account the seriousness of the concern. Objectives will be revised if appropriate.

10.3.2.5 explain the implications and procedure if no, or insufficient, improvement is made.

10.3.3 Oral feedback will be followed or supported by written confirmation – see 13.3

10.3.4 When progress is reviewed, if the appraiser is satisfied that the employee has made, or is making, sufficient improvement, the appraisal procedure will continue as normal, with any remaining issues continuing to be addressed through that procedure.

11. Appeals Procedure

11.1 Employees have the right of appeal against all formal appraisal action. In submitting an appeal, employees are asking the appeals panel to consider the fairness and reasonableness of any appraisal measures taken.

11.2 Appeals must be registered in writing with the appropriate person within ten working days of the date of the letter (which should be sent recorded delivery) confirming the appraisal decision. In appeal cases relating to the Head teacher, the appeal should be registered with the Education and Standards Manager. Appeals received after this period will not normally be heard unless granted because of extenuating circumstances.

11.3 Appeals against decisions made by the appraiser must be considered by an appeals panel who have had no prior involvement in the case. Where the case involves the Head teacher, an Education and Standards Manager or other member of the Plymouth CAST senior team , will normally Chair the appeal panel. However, consideration will be given to appointing a member(s) from Plymouth CAST's Board of Directors – see Appendix 1 panel formation.

11.5 Employees must present any new evidence, which was unavailable at the time of submission of the appeal documentation, at least five working days prior to the appeal hearing.

11.6 Appeals against appraisal action will be considered by the panel in relation to one or more of the following grounds:

11.6.1 The PROCEDURE, – the grounds of appeal should detail how procedural irregularities prejudiced the appraisal decision.

11.6.2 The FACTS, – the grounds of appeal should detail how the facts do not support the decision or were misinterpreted or disregarded. They should also detail any new evidence to be considered.

11.6.3 The DECISION, – the grounds of the appeal should state how the performance concerns did not justify the level of appraisal action taken.

11.7 Appeal hearings will be convened as soon as is reasonably practicable and the employee will be given at least five working days' notice of the time and place of the appeal hearing, with the right to be accompanied by a trade union representative or work colleague.

11.8 The appeal will concentrate on the area(s) of dispute only and will not be a re-run of the appraisal procedure. Accordingly, it is important that the employee is explicit about the grounds for appeal and must provide clear and specific reasons in writing.

11.9 The result of the appeal and the reasons for the decision will be conveyed to the employee immediately after the hearing and will be confirmed in writing to the employee and his/her representative within five working days by the Chair of the appeals panel.

12. Annual Assessment

13.1 Each employee's performance will be formally assessed annually.

13.2 This assessment marks the end of the annual appraisal procedure. However, performance and development priorities will be reviewed on a regular basis and feedback given as and when appropriate.

13.3 The employee will receive and have the opportunity to comment on a written appraisal report as soon as practicable following their appraisal meeting. In schools, teachers will receive their written appraisal reports by 31 October (31 December for the Head teacher). School support employees and employees in the central support team, different timelines might apply. The appraisal report will include:

13.3.1 details of the objectives for the appraisal period in question;

13.3.2 an assessment of the employee's performance of their role and responsibilities against their objectives and the relevant standards;

13.3.3 an assessment of the employee's professional development needs and identification of any action that should be taken to resolve them;

13.3.4 a recommendation on pay where that is relevant for teaching staff (NB – pay recommendations need to be made by 31 December for Head teachers and by 31 October for other teachers);

13.3.5 for support staff performance is not related to pay. An assessment of training needs will be undertaken and appropriate training recommendations made;

13.3.5 details of any other actions that have been agreed.

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

13. Regular Feedback and Review Meetings

14.1 Plymouth CAST supports on-going, appropriate and timely feedback on performance for all employees.

14.2 The completed appraisal report will be viewed as a working document and will be continually referred to and reviewed during the year at meetings between the employee and their manager.

14.3 A more formal mid-year discussion should be facilitated by appraisers to ensure commitments made have been actioned. Any concerns that arise regarding an employee's performance should be resolved when they become evident and not left to the annual appraisal meeting.

14. Transition to Capability

12.1 If the appraiser is not satisfied with progress after appraisal objectives have been set and/or feedback/reviews conducted, the employee will be notified in writing that the appraisal procedure will no longer apply and that their performance will be managed under the Capability Policy. The employee will be invited to a formal capability meeting. The capability procedure will be conducted as described in Plymouth CAST's Capability Policy.

15. Confidentiality

15.1 The appraisal procedure will be treated confidentiality. However, the desire for confidentiality does not override the need for Head teachersExecutive Headteachers and Plymouth CAST to ensure the quality and effectiveness of the appraisal system. This might be achieved by, for example, the Head teacher or an appropriate manager reviewing all employees' objectives and written appraisal records personally to ensure consistency of approach and expectation between appraisers. Anonymised copies of school employee's objectives will be made available to OFSTED as part of any formal assessment.

16. Grievances

16.1 Sometimes an employee may raise a grievance during the course of an appraisal procedure. Where this happens and depending on the circumstances, it may be appropriate, to suspend the appraisal procedure for a short period until the grievance can be considered. The employee, will however, have to raise the grievance in accordance with Plymouth CAST's Grievance Procedure.

16.2 Depending on the nature of the grievance, consideration may need to be given to another manager conducting the appraisal.

17. Monitoring and Evaluation

17.1 The Head teacher and school's ESM will monitor the operation and effectiveness of the local appraisal arrangements in their school.

17.2 Plymouth CAST will monitor the operation and effectiveness of the appraisal arrangements for the central team and across each of its schools in general.

18. Record Keeping

18.1 Full notes must be kept of the appraisal procedure and any subsequent proceedings given that there may be a need to produce the documentation used in arriving at the decision, both at any subsequent internal appeal and in the event of a claim to an Employment Tribunal.

18.2 A written record must be made of all interviews and meetings held during the application of this policy. Those involved in each meeting will be provided with a copy of any records made.

18.3 The appraiser will ensure there is a full and comprehensive file of the procedure, which should include all statements, records and evidence. At the end of the procedure the file should be passed to the Head teacher/Executive Headteacher / School Business Manager who should ensure that it is stored confidentially. Files for Head teachers and the central support team must be returned to HR for filing.

18.4 All records will be kept confidentially and retained in accordance with the General Data Protection Regulation (2018).

18.5 Employees may also wish to keep records of events to support their case.

19. Review

19.1 The content of this procedure may be subject to revision from time to time following consultation with the recognised trade unions.

19.2 History of policy changes

Date	Page	Details of the change	Agreed by
19.07.2017	All	Board Approval for adoption	CAST Board
11.03.2019	Various	Re-definition of responsibilities in line with the new Scheme of Delegation. School Improvement Officers changed to Education and Standards Managers. Introduction of school Business Manager. Change to timescale in providing notice of meetings.	JCC
29.03.2019	All	Board Approval	CAST Board
28.02.2020	Various	Board Approval of changes to references relating to updated Scheme of Delegation	CAST Board

Policy to be reviewed by the Plymouth CAST Board in consultation with the JCC in March 2021 or when legislation changes or operational reasons arise.

Appendix 1. Responsibilities and Panel Formation

1. Responsibilities

   1.1. It is the responsibility of the school's management team and ESM to manage their school within the framework of Plymouth CAST's policies and procedures.

   1.2. In schools the Head teacher, or most senior member of the school, has overall responsibility for the management of employees in their school. They should ensure that staff with line management responsibilities are equipped with the relevant knowledge and training to manage staff effectively and appropriately.

   1.3. The CEO has overall responsibility for the management of Plymouth CAST's central support staff through the management structure in place.

2. Support

   2.1. Plymouth CAST provides professional support and advice on the effective implementation of any procedure through HR who should be informed of all cases requiring a formal procedure. An HR Adviser will be in attendance for all panel hearings.

3. Panel Formation

   3.1. An appropriate panel will be formed for any formal hearing, at which the employee will have the right to be accompanied by a trade union representative or work colleague.

   3.2. The panel will comprise of 3 members who will appoint one of their number as Chair. The composition of the panel will be discussed and agreed with the school's HR Adviser in accordance with the circumstances. The panel **could** comprise of a combination of:

      3.2.1. Senior member(s) of a management team (e.g. Head teacher, Deputy Head, Head of Subject or Key Stage Leaders, a member of the Plymouth CAST central management team)

      3.2.2. Members from another local Governing Board (in schools only). The Chair of Governors may be reserved for participation in any appeal panel, but cannot chair the panel.

      3.2.3. Senior Managers from other schools

      3.2.4. Member(s) from Plymouth CAST's Board of Directors

4. This will provide greater flexibility, impartiality and support to small schools and Plymouth CAST's central team.

5. Consideration should also be given to appointing investigating officers and panel members from across Plymouth CAST's network.