



# **The Diocese of Gloucester Academies Trust**

## **Performance Management Policy and Procedure**

Status and review cycle:	Non-Statutory and free review cycle
Responsible group:	The Trust with LGB additions
Implementation date:	May 2015
Next Review Date:	August 2022

# Diocese of Gloucester Academies Trust

## Performance Management Policy and Procedure

### Policy Statement

- 1 The Trust is an organisation with a Christian foundation. The ethos, values and relationships of the Trust, and its associated academies, are central to witnessing to the value of the foundation. The Trust aims to support all staff to realise their aspirations and create a culture of continual improvement and learning. The Trust believes that high performing staff are the cornerstone of educational success that also offer young people effective and inspiring role models.
- 2 **Purpose and Scope:** This policy sets out the framework for a clear and consistent assessment of the overall performance of teachers, including the Principal and support staff. The framework provides a structure for supporting the continual development of all DGAT staff within the context of the Academy's plan for improving educational provision and performance, and the standards expected of all employees.
- 3 The outcomes of the appraisal process will be used to inform the pay progression decisions for teaching staff and therefore this policy and procedure should be read in conjunction with the Academy's pay policy.
- 4 This policy and procedure applies to all DGAT staff whether permanent or on a fixed term contract with the following exceptions:
  - i. Teachers employed for less than one term
  - ii. Newly qualified teachers undergoing an induction
  - iii. Teachers on probation
  - iv. Support staff employed for less than one term
  - v. Support staff within their probation period
  - vi. Agency or contract workers or volunteers
  - vii. Employees subject to the formal Capability Procedure

### Appraisal Process

- 5 Appraisal in this Academy will be a supportive and developmental process designed to ensure that all employees have the skills and the support they need to carry out their role effectively. It will help to ensure that all DGAT staff are able to continue to improve their professional practice, develop in their roles and realise their potential.

### The Appraisal Cycle

- 6 The appraisal period will run for twelve months, this will normally be from October to October for teachers and December to December for the Principal. For support staff the appraisal period will be between XXX and XXX [each academy to inset, as appropriate]
- 7 Staff who are employed on a fixed term contract of less than one year will have their performance managed in accordance with principles underpinning this policy. The length of

the period will be determined by the duration of the employment contract. There needs to be flexibility within these cycles which may result in a shorter or longer period of appraisal depending on the start or end dates of employment.

### **The Appraisal Procedure**

- 8 The appraisal process will remain confidential between the appraiser and employee and employee's line manager (if this is different to the appraiser). The Principal may access the documents as part of quality assurance and as part of the pay progression system for teaching staff. This procedure complies with the revised appraisal arrangement for teachers, which came into force on 1 September 2012 – Education (School Teachers' Appraisal) (England) Regulations 2012.
- 9 The Academy will try to resolve issues of underperformance informally through meetings between the employee and their line manager. However where this approach has been tried and has failed to achieve improved performance or if the performance concerns are more serious, formal action under the Capability Procedure will be considered.

### **Appointing Appraisers**

- 10 The Principal will be appraised by two to three appointed governors and the CEO or DCEO.  
  
The Principal will decide who will appraise staff. Where the Principal delegates 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.

### **Setting Objectives**

- 12 The Principal's objectives will be set in consultation with the appointed appraisers.
- 13 A copy of the principal's appraisal will be forwarded to the CEO. It will be held in a confidential file. Objectives for all staff will be set prior to, or as soon as practicable after, the start of each appraisal period. The objectives set for individuals will be Specific, Measurable, Achievable, Realistic and Time-Bound (SMART) and will be appropriate to the role/position held and the level of experience. The objectives shall also take into account any professional or career aspirations and any relevant pay progression criteria (See Pay Policy). The appraiser and employee will seek to agree the objectives but in the unlikely event that this is not possible, the appraiser will have the final decision and determine the objectives. As the appraisal period progresses it may be necessary to revise the original objectives if circumstances change.
- 14 Under normal circumstances there will be a maximum of 3 objectives set in any one period, the number of objectives set will take into account the difficulty and complexity of the objectives. However for teachers, who are found not to be meeting standards at the appropriate level for their career stage additional objectives may be given as required to ensure that the most appropriate support can be provided.

### **Teaching Objectives**

- 15 The objectives set for each teacher will, if achieved, contribute to the Academy's plans for improving the educational provision and performance. Objectives set will be in line with the Academy's own improvement objectives as defined in the Academy Development Plan. All appraisers should therefore refer to these documents prior to setting any objectives.

Reviewers will have regard to what can reasonably be expected in the context of roles, responsibilities and experience, consistent with the school's strategy for achieving a work/life balance for all staff.

Objectives set will also take account of guidance from unions and the DFE which states that, "Objectives can be set in relation to robust assessment data but that these targets will not be set in isolation and other factors will be considered when making decisions about pay progression, recognising that external factors such as illness etc. can affect outcomes". Suggested phrasing for these targets is contained in the performance management update paperwork for Teachers.

For teaching staff this link will be made:

- i. By ensuring that the pupil progress objective addresses the key attainment priority.
  - ii. By ensuring that the professional development objective addresses the key development priority identified
  - iii. 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 the relevant academy improvement priorities – with reference to any leadership standards.
- 16 Before, or as soon as practicable after, the start of each appraisal period, each teacher will be informed of the standards against which that teacher's performance in that appraisal period will be assessed. For qualified teachers this will normally be against the 'Teachers' Standards' contained within the School Teachers' Pay and Conditions Document.

### **Reviewing performance**

- 17 The appraisal is a supportive process which is used to inform continuing development. The Academy wishes to encourage a culture in which all DGAT staff take responsibility for improving their performance and improve their teaching through appropriate professional development. Professional development will be linked to the Academy's improvement priorities and to the ongoing professional development needs and priorities of DGAT employees.

### **Teaching Observations**

- 18 The Academy believes that observation of classroom practice and other responsibilities is important both as a way of assessing teachers' performance in order to identify any particular strengths and areas for development they may have and of gaining useful information which can inform academy improvement more generally. All observations will be carried out in a supportive manner and will not add to teacher workload. (see appendix 1).
- 19 The individual undertaking the observation will agree a specific focus with the appraisee that usually links to the appraisee's individual appraisal objectives or to academy wide

developmental priorities. Progress of pupils highlighted within the appraisee's Pupil Performance (PM) objective will also be a focus within the lesson, if appropriate.

- 20 In DGAT Academies, 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 Academy. This observation will mainly be through 'drop in's. The Principal, or other leaders with responsibility for teaching standards, may 'drop in', in order to evaluate the standards of teaching and learning 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 the specific circumstances.
- 21 Teachers (including the Principal) who have responsibilities outside the classroom should also expect to have their performance of those responsibilities observed/assessed.

### **Feedback**

- 22 DGAT staff can expect constructive feedback on their performance throughout the year and as soon as practicable after any teaching observation or other evidence has come to light. Written feedback will highlight particular areas of strength as well as areas that need some attention. Where there are concerns about any aspects of performance the appraiser will meet the member of staff formally to:
- i. Give clear feedback about the nature and seriousness of the concerns.
  - ii. Give the member of staff the opportunity to comment and discuss the concerns.
  - iii. Agree any support (e.g. coaching, mentoring, structured observations), that will be provided to help address those specific concerns.
  - iv. Make clear how, and by when, the appraiser will review progress (it may be appropriate to revise objectives, and it will be necessary to allow sufficient time for improvement).
  - v. Explain the implications and process if no or insufficient improvement is made, and any implications for pay progression if relevant.

- 23 When progress is reviewed, if the appraiser is satisfied that the member of staff 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.
- 24 The range and level of evidence collected for appraisal and pay determination purposes will always be proportionate and minimise workload.

### **Appeal process**

#### **Transition to capability**

- 25 If the member of staff demonstrates serious underperformance, and has not responded to support provided within the appraisal process, the staff member will be notified in writing that the appraisal system will no longer apply and that their performance will be managed under the Academy's capability procedure, and will be invited to a formal capability meeting in accordance with procedure.

### **Annual Assessment**

Responsible Dept: The Trust  
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- 26 All DGAT staffs' performance will be formally assessed in respect of each appraisal period. This assessment is the end point to annual appraisal process, but performance and development priorities may be reviewed and addressed on a regular basis throughout the year.
- 27 Employees 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 DGAT Academies, teaching staff will receive their written appraisal reports by the 31 October, 31 December for the Principal and XXX [please insert] for support staff.
- 28 The appraisal report will include:
- i. Details of the objectives for the appraisal period in question.
  - ii. An assessment of the members of staff performance of their role and responsibilities against their objectives and the relevant standards.
  - iii. An assessment of the member of staff's training and development needs and identification of any action that should be taken to address them.
  - iv. Targets missed through no fault of the employee will be given consideration and included
  - v. A recommendation on pay, where relevant.
- 29 The assessment of performance and training and development needs will inform the planning process for the following appraisal period(s) and any recommendations on pay will be referred to the Principal. Recommendations relating to the Principal will be referred to the Chair of the Local Governing Body.

### **Retention of Records**

- 30 The Local Governing Body and the Principal will ensure that all the written appraisal records are retained in a secure place for six years and then destroyed.

### **Other Related Documents**

Capability Policy

Pay Policy

Teachers Pay and Conditions Document

## **Appendix I – Observation Protocols**

The Academy 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.

The total period for observation arranged will be proportionate and have regard to the individual circumstances and needs. In this academy 'proportionate to need' will be determined by the Principal. It is recommended that up to three observations should be sufficient in each academic year except in exceptional circumstances such as where an academy is in special measures.

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 those recorded at the beginning of the period subject to a meeting between the appraiser 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 academy's commitment to streamlining data collection and minimising bureaucracy and workload burdens on staff.

In keeping with the commitment to supportive and developmental observation those being observed will be notified in advance, normally 5 working days should be provided. Where classroom observations of teachers take place they will only be undertaken by persons with QTS. In addition, observation will only 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 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 Principal has 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 monitoring of the quality of learning. Clearly the appraisal process is integral to fulfilling this duty and therefore agreed observations as part of this process may be sufficient however, “Drop ins” can be undertaken by members of the leadership team. “Drop ins” will only inform the appraisal process where evidence arises which merits the revision of the original objectives set. The number and duration of these should be limited and not unduly put pressure on members of staff.