



**CARLTON**  
ACADEMY TRUST

## **Appraisal Policy**

**Approved on behalf of the Trustees:**

**R Butterfield**

**Date:**

**January 2024**

**Next Review Date:**

**January 2027**

## **Glossary**

**CEO:** Chief Executive Officer.

**COT:** Chair of Trustees.

**HOS:** Head of School.

## **Policy Overview**

This policy sets out the framework for objective and consistent assessment of staff performance. It applies to all permanent staff except:

- Those employed for less than two terms of the appraisal period.
- Early Career Teachers within induction processes.
- Staff subject to capability procedures.

The appraisal period for all staff runs from September 1 to August 31 but may cover a longer period in exceptional circumstances. Judgements on performance made at the end of the appraisal period will form the basis of annual staff pay recommendations.

## **Appraisers**

All staff are appraised by staff with relevant line management responsibility, with trustees reviewing the performance of the CEO. Reviewers may change over the appraisal period for reasons of staff absence, change of role, departure from school or trust, or replacement by more appropriate member of staff. All reviewers are provided with guidance to enable them to discharge all aspects of their role appropriately and effectively.

## **Objective Setting**

All staff are set three objectives, except for support staff lower than SO1 who have two objectives. Objective setting should normally be completed by the end of the first half term but may continue into half term two where appropriate. This may be relevant for teachers in secondary schools, where the national performance data required for their appraisal is not published until the latter part of half term one.

Where there is disagreement over objectives, appeals can be made to the Head of School. Where objectives have been set by the HOS, appeals can be made to the:

**Director of Primary:** for all primary school staff.

**Director of Secondary:** for all secondary school staff.

**Director of Special:** for all special school staff.

Where HOS disagree with their objectives, they may appeal to the CEO. Anyone directly line-managed by the CEO (including secondary HOS) may appeal to the COT if they have concerns with their objectives.

## **Quality Assurance**

The HOS quality-assures all objectives to ensure they directly link to school/trust improvement priorities. In larger schools with many staff, this task may be delegated to another senior leader. The CEO quality assures all objectives for central trust staff. The CEO and HOS reserve the right to amend or change objectives as part of this quality assurance process.

## **Annual Performance Appraisal**

Appraisal considers objectives set at the start of the cycle, as well as (where relevant):

- Examination results and progress data.
- Work scrutiny.

- Lesson observations, learning walks and informal observations.
- Adherence to school/trust rules, daily practice guidelines, expectations of conduct, Leadership Philosophies.
- Wider contribution to the school or trust.
- Attendance.
- Disciplinary processes.
- Any other relevant factors.

All staff have a mid-year review, where progress towards annual objectives is discussed.

**Note:** Judgements of teacher performance will be made with reference to National Teacher Standards.

### **Pay Progression**

**Schools:** Pay progression is not automatic and dependent on successful annual appraisal as judged by appraisers. All pay recommendations are provisional pending confirmation from the HOS. These decisions are quality-assured by the Director of Primary, Secondary or Special as appropriate, before formal notification of pay decisions can be made to staff.

Teachers applying to UPS have their annual appraisal and associated pay decisions overseen by the HOS, with decisions based on the national standards for UPS progression. Teachers already on UPS, who consistently fail to meet these standards may lose this status.

**Central Trust:** Pay progression is not automatic and dependent on successful annual performance appraisal, with reviewers making pay recommendations based on these. All pay decisions are provisional pending approval from the CEO, after which formal notifications of pay decisions are made to staff.

### **Appealing Judgements and Pay Decisions**

Appeals are made to the HOS. Where the initial decision was made by the HOS, appeals should be made to the:

**Director of Primary:** for all primary staff.

**Director of Secondary:** for all secondary staff.

**Director of Special:** for all special school staff.

Appeals from trust staff should be made to the CEO. Where the initial decision was made by the CEO, it should be made to the COT.

### **Performance Concerns**

Where there are significant performance concerns during the appraisal cycle, a Difficulties meeting may be arranged where concerns are discussed. The meeting informs whether the school or trust needs to take any further action, such as a formal support plan. Plans outline improvement objectives and agree support, with a duration appropriate to circumstances. At the end of the support period there are three options at the discretion of the school or trust:

- End the plan.
- Commence another period of support.
- Enter formal capability.

Staff are provided with at least five working days' notice of a difficulties meeting and may be accompanied by a trade union representative or work colleague.

### **Confidentiality and Record Keeping**

Only the reviewer and relevant senior personnel should have access to appraisal documentation. Records should be retained for six years.