



APPRAISAL POLICY FOR TEACHERS AND SUPPORT STAFF

Date: August 2018
Review: August 2019

Contents

| | | |
|-----|--|---|
| 1. | Purpose..... | 3 |
| 2. | Applicability..... | 3 |
| 3. | Roles and Responsibilities | 3 |
| 4. | The appraisal period | 4 |
| 5. | Appointing appraisers..... | 4 |
| 6. | Setting objectives..... | 4 |
| 7. | Assessment against professional standards – teachers only..... | 5 |
| 8. | Reviewing performance | 5 |
| 9. | Dealing with concerns about performance and informal support processes | 5 |
| 10. | Annual assessment | 6 |
| 11. | Confidentiality and retention of records..... | 7 |
| | Appendix 1 – Table showing the appraisal cycle | 8 |
| | Appendix 2 – Observation protocol | 9 |

1. Purpose

- 1.1. The purpose of this procedure is to set out a framework for the clear and consistent assessment of performance of all staff in the Trust, including Headteachers, and for supporting their development within the context of the Trust's plan for improving educational provision and performance. Its key purpose is to help all staff improve their performance.
- 1.2. This model procedure complies with the principles set out in the model teacher appraisal and capability policy published by the Department for Education.
- 1.3. Appraisal in this Trust will be a supportive and developmental process designed to ensure that all employees have the skills and support they need to carry out their role effectively, and continue to improve their professional practice.
- 1.4. The Trust wishes to encourage a culture in which all staff, especially teachers, take responsibility for improving their practice through appropriate professional development.

2. Applicability

- 2.1. This procedure applies to all employees of the Trust including Headteachers with the following specific exceptions;
 - 2.1.1. Newly Qualified Teachers during the statutory Induction Period
 - 2.1.2. Employees employed on fixed-term contracts for less than one term
 - 2.1.3. Employees whose performance is being managed under the terms of the Capability Procedure

3. Roles and Responsibilities

- 3.1. Headteachers/line managers and the governing body, together with the Executive Headteacher and the Trust directors, are responsible for implementing this procedure, and for monitoring the operation and effectiveness of the academy's appraisal arrangements.
- 3.2. Headteachers/line managers and the Executive Headteacher are responsible for ensuring staff receive appropriate training and support and receive adequate feedback on performance.
- 3.3. Where academies have bought in to Human Resources support, HR staff will provide headteachers/line managers with specialist advice on implementing this procedure.
- 3.4. Employees are responsible for complying with the requirements of this procedure.

4. The appraisal period

- 4.1. The normal annual appraisal period for employees employed for at least a year will run for 12 months, for teachers from September to August each year and for all other staff, from April to March.
- 4.2. The appraisal period for employees on fixed term contracts of less than one year will normally be the duration of the contract. They will have their performance managed in accordance with the principles underpinning this policy.
- 4.3. Employees joining or leaving the Trust part way through the school year may have a shorter or longer appraisal period.

5. Appointing appraisers

- 5.1. In this Trust the task of appraising Headteachers, including the setting of objectives, will be carried out by the Executive Headteacher with a group comprising one/two members of the governing body.
- 5.2. Headteachers will decide who will appraise other employees in each academy. The appraiser will normally be the line manager.
- 5.3. The Executive Headteacher will be appraised by directors.
- 5.4. Appraisers will have a reasonable balance of responsibilities, and will not normally be responsible for appraising more than five appraisees. Teachers will only be appraised by appraisers who have Qualified Teacher Status.

6. Setting objectives

- 6.1. Headteachers objectives will be set by the Executive Headteacher with a group comprising one/two members of the governing body.
- 6.2. Objectives for each employee will be set before, or as soon as practicable after, the start of each appraisal period. In practice, this means that objectives for Headteachers and Senior Leadership Teams will normally be set before the end of September, and objectives for other employees will normally be set before the end of October.
- 6.3. Objectives will be Specific, Measurable, Achievable, Realistic and Time-bound (SMART). They will be appropriate to the job role and to the level of professional experience, where relevant.
- 6.4. The objectives set will, if achieved, result in the positive development of the employee and will contribute to the Trust's plans for improving the Trust's educational provision and performance and improving the education of pupils at the Trust academies.
- 6.5. When setting objectives, the appraiser and appraisee should consider how the objectives link to academy improvement priorities, and to the professional development needs of the employee.

6.6. The appraiser and appraisee will seek to agree objectives. If it is not possible to agree some or all of the objectives, the appraiser will determine the objectives. Objectives may be revised in the light of changing circumstances.

6.7. Employees who join the Trust, or who return from maternity leave, long term sick leave or other leave, part way through the appraisal period, will normally have an objective-setting meeting within *three months* as part of their induction or return to work process. *For employees joining in the summer term, this meeting may be postponed to the start of the next appraisal period, in September.*

7. Assessment against professional standards – teachers only

7.1. Before, or as soon as practicable after, the start of each appraisal period, each teacher will be informed of the professional standards against which the teacher's performance in that appraisal period will be assessed.

7.2. All teachers will be assessed against the set of standards contained in the 'Teachers' Standards'. Headteachers will determine whether certain teachers should also be assessed against other relevant sets of standards to be published by the Secretary of State or others in due course.

8. Reviewing performance

8.1. The appraiser will gather information about performance throughout the appraisal period. The type of information gathered and the methods for collecting it will vary according to the job role of the appraisee. For teachers, the evidence to be considered when reviewing performance is set out in the Trust's pay policy.

8.2. Where relevant, classroom observation will be used to inform the review of performance for teachers. See appendix 2 for details of the Trust's protocol on classroom observation.

8.3. Interim meetings will be held at least once during the annual cycle to review performance and development priorities, and progress towards the achievement of objectives. Feedback will be provided to highlight areas of strength as well as any areas that may need attention.

9. Dealing with concerns about performance and informal support processes

9.1. Where concerns arise during the appraisal period about any aspect of an employee's performance, the appraiser will meet the employee formally to;

9.2.1 give clear feedback about the nature and seriousness of the concerns;

9.2.2 give the employee the opportunity to comment and discuss the concerns;

- 9.2.3 agree any support (e.g. coaching, mentoring, structured observations, additional training) that will be provided to help address those concerns;
- 9.2.4 make clear how, and by when, the appraiser will review progress (timescales must be reasonable, and appropriate to the nature of the concerns and the job role);
- 9.2.5 explain that if no, or insufficient progress, is made the appraisal process will end and that performance will be managed under the capability procedure.
- 9.3 When progress is reviewed, if the appraiser is satisfied that the employee has made, or is making, sufficient improvement the appraisal process will continue as normal with any remaining issues to be addressed through that process.
- 9.4 If progress is not satisfactory, the employee will be informed in writing that the appraisal system will no longer apply and that their performance will be managed under the capability procedure. They will be invited to a formal capability meeting.

10 Annual assessment

- 10.2 Each employee's performance will be formally assessed in respect of each appraisal period.
- 10.3 The annual appraisal meeting will take place at the end of the appraisal period or as soon as practicable afterwards.
- 10.4 As soon as practicable after the appraisal meeting, the appraisee will receive a written appraisal report which summarises the discussion at the meeting. The report will include;
 - 10.4.5 details of the objectives for the appraisal period in question;
 - 10.4.6 an assessment of the employee's performance of their role and responsibilities against their objectives and, for teachers, the relevant professional standards;
 - 10.4.7 an assessment of the employee's training and development needs and identification of any action that should be taken to address them;
 - 10.4.8 for teachers only, a recommendation on pay in accordance with the Trust's pay policy.
- 10.5 For teachers and Headteachers, the appraisal report including the pay recommendation must be received before the end of October
- 10.6 The assessment of performance and of training and development needs will inform the planning process for the following appraisal period.
- 10.7 The recommendation on pay will be considered by Headteachers and, submitted for approval to the Personnel/Finance committee of the governing body, in accordance with the Trust's pay policy.

11 Confidentiality and retention of records

11.2 Appraisal processes will be treated with confidentiality. Information from the process, and appraisal statements and objectives will remain confidential to the appraiser and appraisee, except for the actions in the development plan which will be shared with the person responsible for professional development in the academy.

11.3 Headteachers have a responsibility to quality-assure the operation and effectiveness of the appraisal system. Headteachers (or members of the leadership team, as appropriate), will review written appraisal records to ensure consistency of approach and expectation across the academy, and to ensure awareness of any pay recommendations that have been made.

11.4 Governing Bodies and Headteachers will ensure that all written appraisal records are retained in a secure place for six years and then destroyed.

Review Date: August 2021

Trust Director Signature

Name

Date

Appendix 1 – Table showing the appraisal cycle

| Activity | Headteachers | Teachers | Support employees |
|--|-------------------------|--------------------------|--------------------------|
| Annual appraisal meeting to review performance for the previous period, and set objectives and development plans for the next period | <i>September</i> | <i>September/October</i> | <i>February/March</i> |
| Written record of appraisal meeting provided to appraisee, with opportunity to comment | <i>By end October</i> | <i>By end October</i> | <i>By end April</i> |
| Interim meetings to discuss progress and development (to take place during directed time) | <i>Once during year</i> | <i>Once during year</i> | <i>Once during year</i> |

Table showing who is responsible for carrying out appraisals

| Executive Headteacher | Headteachers | Leadership team | Teachers | Support employees |
|------------------------------|---|------------------------|---|------------------------------|
| Directors | <i>Executive Headteacher plus one/two governors appointed by the governing body,</i> | <i>Headteacher</i> | <i>Headteacher, member of leadership team, or line manager (with QTS)</i> | <i>Normally line manager</i> |

Appendix 2 – Observation protocol

Introduction

This Trust believes that observation of classroom practice and other responsibilities is important in helping teachers to improve. It is also 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 Trust improvement more generally. It is also a way of identifying and celebrating the many good things that happen in teacher's classrooms

All observation will be carried out in a supportive and developmental fashion.

Formal classroom observations

Formal classroom observations are just one way of assessing the quality of learning in schools. Academies must not judge the quality of teaching on classroom observations alone but must take into account a range of strategies that can be used to see the quality of work that teachers carry out and its impact on the learning of children. In this Trust, 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 each academy.

Classroom observation will only be carried out by those with QTS. Those carrying out classroom observations will have the appropriate skills to undertake observation and to give constructive written and oral feedback.

The appraisal of all staff through the monitoring and evaluation of teaching and learning is ongoing throughout the year. Individual academies are likely to have different methods of gathering and recording information to help them in appraising staff but it is likely to include work reviews, pupil progress meetings, discussions with pupils, learning walks as well as more formal lesson observations. These monitoring activities could be carried out by senior leaders, by curriculum leaders or by peers. Monitoring is likely to be increased if there are concerns about the particular performance of any member of staff.

Each academy has a monitoring and evaluation schedule, produced early in the academic year that sets out its monitoring and evaluation programme for the year. It will include the frequency, purpose and recording of all monitoring activities. Records of all monitoring activities will be kept and shared with the member of staff as required.

Other observations

Teachers (including Headteachers) who have responsibilities outside the classroom should also expect to have their performance of those responsibilities observed and assessed. This may include leading staff meetings and Inset and carrying out classroom observation and giving feedback.

Feedback

Teachers 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.

Teachers should receive oral feedback as soon as possible on classroom observations, and written feedback *within five school days*.

Drop in observations *and learning walks*

Headteachers and other Trust leaders have a responsibility to monitor the standards of teaching and behaviour throughout the Trust. In order to do this they may 'drop in' to classrooms, *or carry out 'learning walks'* 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 *or 'learning walks'* will vary depending on specific circumstances.

Although drop in visits to classrooms will not normally form part of the evidence gathering for the appraisal process, Headteachers /senior leaders will take account of any concerns that may be raised and will ensure that these are fed back to the teacher as soon as possible so that any corrective action necessary can be put into place. Learning walks and drop in visits can be carried out by any member of staff as part of their normal role and will take place regularly as required. However, their frequency should not be so great as to place individual teachers under untoward pressure.