

## **APPRAISAL POLICY FOR TEACHERS**

### **1. Purpose**

- 1.1 This policy sets out the framework for a clear and consistent assessment of the overall performance of teachers, including the Headteacher, and contains the principles for supporting high quality personal development within the context of each school / academy plan for improving educational provision and performance and the standards expected of teachers.
- 1.2 Appraisal is intended to be a supportive and developmental process designed to ensure that all teachers have the skills and support they need to carry out their role effectively. It will help to ensure that teachers are able to continually improve their professional practice and professionally develop.
- 1.3 If there are concerns about a teacher's performance these will be addressed at the earliest possible opportunity through the appraisal process.
- 1.4 If performance concerns are so serious that cannot be resolved through appraisal arrangements, then consideration will be given to commencement of the capability procedure.
- 1.5 This policy is intended to reflect the principles of fairness, equity and confidentiality.
- 1.6 Whilst a template is available, schools / academies are free to use their own paper based or on-line systems in order to capture the appraisal information in the most appropriate format for their circumstances on the understanding that this is compliant with the framework of this policy.
- 1.7 Decisions regarding the pay progression of teachers will be made on the basis of performance, with reference to appraisal reports and the information on pay recommendations which they contain.

### **2. Application of this policy**

- 2.1 This policy applies to the Headteacher and to all teachers employed by The Two Counties Trust, except those on contracts of less than one term, those undergoing induction (i.e. NQTs) and those for whom the appraisal process has been suspended as they are subject to Capability procedures.
- 2.2 Appraisal activities will take place within Directed Time and not within PPA time.

### **3. The appraisal period**

- 3.1 The appraisal period will run for twelve months from September to September in line with the academic year. The process of undertaking appraisal reviews and making pay decisions will be completed by 31<sup>st</sup> October for teachers and 31<sup>st</sup> December for the Headteacher.
- 3.2 Teachers who are employed on a fixed term contract of more than one term but less than one year will have their performance managed in accordance with the principles underpinning this policy. The length of the period will be determined by the duration of their contract.
- 3.3 There is flexibility to have a longer or shorter appraisal period when teachers begin or end employment during an academic year. Where a teacher ceases employment other than at the end of the appraisal period, the appraisal period ends on the last day of employment.
- 3.4 Where a teacher starts their employment part way through an appraisal cycle, the Headteacher or, where the employee is the Headteacher, the Local Governing Body, shall determine the length of the first cycle for that teacher, whether that is longer or shorter than 12 months, with a view to bringing their cycle into line with the cycle for all other teachers as soon as possible.

#### 4. Appointing appraisers

- 4.1 All appraisers (other than those appraising the Headteacher) will be qualified teachers and a teacher's appraiser will normally hold a management role in relation to the teacher, unless the Headteacher nominates another suitable appraiser. In all cases an appraiser will hold an appropriate position in the school / academy and have the necessary skills, knowledge, training and experience to undertake the role. The Headteacher will ensure that their number of appraisees is manageable. Appraisers, other than members of the Senior Leadership Team, will typically have four appraisees.
- 4.2 The Headteacher will be appraised by the Local Governing Body and the task of appraising the Headteacher, including the setting of objectives, will be delegated to a sub-group of at least two and normally three Governors with oversight provided by the CEO of the Trust.
- 4.3 If the Headteacher is of the opinion that a member of the sub-group is unsuitable to act as their appraiser, they may write to the Chair of Governors to request a replacement, providing reasons for this request.
- 4.4 The Headteacher will decide who will appraise other teachers and will ensure that only suitably qualified personnel undertake this role as outlined above.
- 4.5 If a teacher has a concern about their nominated appraiser they may write to the Headteacher to request a replacement, providing reasons for this request. Where legitimate concerns are raised these will be considered by the Headteacher who may appoint an alternative appraiser. The decision of the Headteacher will be final.
- 4.6 The appraiser will conduct all aspects of the appraisal, including making a recommendation to inform pay progression to the Headteacher.

#### 5. The Planning Meeting

- 5.1 The annual planning meeting will include:
  - Setting / agreeing objectives;
  - Determining evidence to be collected
  - Defining success criteria
  - Identifying professional development
  - Determining the focus and timing of observations

#### 6. Setting objectives

- 6.1 Objectives for each teacher, including the whole school and individual objectives, will be agreed as soon as practicable after the start of each appraisal period.
- 6.2 Each school / academy operates a system of moderation led by the Headteacher to ensure that all appraisers are working to the same standards and to ensure that objectives are consistent between teachers with similar experience and levels of responsibility.
- 6.3 The objectives set for each teacher, will:
  - Be Specific, Measurable, Achievable, Realistic and Time-bound. The measure of success for meeting the objectives and how progress will be measured will be as clear as possible.
  - Be underpinned by the Teachers' Standards.
  - Have regard to what can reasonably be expected of the teacher in the context of their role, responsibilities and experience and be consistent with the principle of achieving a satisfactory work/life balance.
  - Be appropriate to the teacher's role and level of experience.

- Make reference to the competencies and behaviours required to achieve good outcomes for students
  - Be fair and equitable.
- 6.4 The appraiser and appraisee will seek to agree the objectives. Where that is not possible the teacher may refer the matter to a designated member of the Senior Leadership Team who has responsibility for overseeing appraisal. Where dispute occurs the final decision on objectives rests with the Headteacher.
- 6.5 Objectives may be revised if circumstances change. Any amendment to the objectives or supporting requirements will be recorded in writing and the expectations of the teacher clarified.
- 6.6 The objectives set for each teacher will, if achieved, contribute to the school / academy plans for improving educational provision and performance and improving the education of students. This will be achieved by quality assuring all objectives against the improvement plan and the individual teacher's assessment which is underpinned by the Teachers' Standards.
- 6.7 The Teachers' Standards, and where relevant, other standards published by the Secretary of State, will be used to inform the setting of the appraisal objectives but will not be used as a checklist to assess performance.
- 6.8 The agreed objectives will contain a description of what success should look like and identify the support/professional development required.
- 6.9 All teachers will have no more than 3 objectives.
- 6.10 Teachers will normally have a whole school objective
- 6.11 Teachers will normally have an objective related to the Teachers' Standards (or other relevant standards) as appropriate. Where other standards apply for teachers who have additional responsibility or where they are required to satisfy relevant criteria associated with pay progression they should be used in the formulation of appraisal objectives.
- 6.12 Teachers will normally have a pupil progress objective. Whilst this should be a numerical target it is recognised that factors outside of a teacher's control may result in the target not being achieved. The appraisal will be used as a professional dialogue to discuss what the teacher has been done to contribute towards the achievement of the objective and the barriers encountered. These criteria will be the measure of success where a numerical pupil progress target is not achieved.
- 6.13 Where teachers have returned to work following a period of extended absence, objectives and timescales may be adjusted as part of the reintegration to work and adjustments may need to be taken into account when setting objectives for teachers who have a disability.
- 6.14 All teachers will have equal access to the support required in the areas identified for development.

## 7. Development and support

- 7.1 The Trust wishes to encourage a culture in which all teachers take responsibility for, and professionally engage in, driving their own professional development. Professional development will be linked to improvement priorities and to the ongoing development needs and priorities of individual teachers.
- 7.2 Each school / academy CPD programme will be informed by development needs identified as part of the appraisal process.

- 7.3 The Headteacher will, as far as possible, make appropriate budgetary provision for development needs arising from the appraisal process.
- 7.4 Where CPD is identified as key to the improvement of an individual, account will be taken of where it has not been possible for teachers to fully meet the performance required, against their agreed priorities, if the resources have not been available. This will be recorded at a review meeting.

## **8. Feedback**

- 8.1 Teachers will receive developmental feedback on their performance throughout the year through a formal interim review in Directed Time and informal feedback as appropriate.
- 8.2 Feedback will highlight particular areas of strength as well as any areas that need attention. It is expected in the main that appraisal will highlight strengths and contribute to School / Academy improvement in a developmental way.

## **9. Interim review meeting**

- 9.1 It is good practice to hold a short formal mid-year meeting to review progress towards objectives and the impact of support provided in order to ensure that plans are on track and there are no issues which require attention, particularly those which left unattended could impact on the appraisal outcome to ensure that there are no surprises at year end.
- 9.2 Where there is lack of progress towards objectives, or concerns exist that standards are not being met and as such there is a risk that the teacher's annual appraisal review may not be successful, and therefore pay progression may not be recommended, this will be made clear to the teacher in writing. Relevant support and development opportunities will be put in place with the aim of rectifying the situation.

## **10. Annual assessment**

- 10.1 Assessment of overall performance against all objectives will take place at the year end and will be based on the criteria set at the beginning of the cycle or in line with any in-year adjustments to objectives which take place as part of an interim review.
- 10.2 This assessment is the end-point to the annual appraisal process, but performance and development priorities will be reviewed and addressed on an on-going basis throughout the year.
- 10.3 The content of the appraisal report will be drawn up following discussion between the appraiser and the teacher.
- 10.4 The teacher will receive as soon as practicable following the end of each appraisal period a written appraisal report and will have the opportunity to comment on this in writing. Teachers will receive their written reports by 31<sup>st</sup> October each year (31<sup>st</sup> December for the Headteacher). The appraisal report will include:
- details of the teacher's objectives for the appraisal period in question;
  - an assessment of the teacher's performance of their role and responsibilities against their objectives and the relevant standards;
  - an assessment of the teacher's professional development needs and identification of any action that should be taken to address them;
  - a recommendation to inform pay progression (see Teachers Pay Policy), where the teacher is eligible;
  - a section for teachers to add their own comments

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

## 11. Appeals

- 11.1 If appraisees are not satisfied with their appraisal, they should seek to resolve this by discussing the matter informally with the appraiser as soon as possible and in all cases initiate a discussion within 5 working days.
- 11.2 Appraisees have a formal right of appeal regarding the outcome of their appraisal and the Teacher's Pay Policy contains the procedure for appeals including those relating to pay.
- 11.3 Issues relating to objectives set at the planning stage should normally be resolved between the appraisee and appraiser. Where reaching an agreement is not possible, the matter should be referred to The Headteacher for resolution. The appraisee may annotate the appraisal paperwork accordingly.

## 12. Procedure for teachers experiencing difficulties

- 12.1 When working with a teacher who is experiencing difficulty the aim is to provide support and guidance through the appraisal process in such a way that performance improves and the problem is resolved, thereby avoiding the need for formal proceedings. Teachers who are experiencing difficulties are encouraged to contact their Trade Union representative for advice and support at the earliest opportunity.
- 12.2 Where it is apparent that a teacher's personal circumstances are leading to difficulties, support will be offered as soon as possible and without waiting for a formal review meeting.
- 12.3 Before initiating this procedure for teachers experiencing difficulties, the appraiser will discuss their concerns with the Headteacher and gain their agreement to enter into these informal proceedings. The Headteacher will not be involved in the informal process; however they will nominate a member of the Senior Leadership Team to maintain an overview of the support provided and progress being made.
- 12.4 The appraiser will give clear feedback to the teacher about the nature and seriousness of the concerns and give the teacher an opportunity to comment and discuss the matter. The appraiser will arrange a further meeting at a mutually convenient time, giving 5 working days' notice to meet the teacher to discuss targets for improvement and any support needed to address the concerns. Teachers may bring a trade union representative or work colleague to this meeting to support them.
- 12.5 In consultation with the teacher at the meeting a support plan will be established. The appraiser will make it clear how progress will be monitored, when it will be reviewed and the implications if insufficient or no improvement is made.
- 12.6 The documented support plan (a template support plan is found at Appendix 2) will include:
- The aspects of concern;
  - The standard to be achieved
  - The evidence base which will be used to measure progress and achievement
  - Attendance at training, observation and support to meet the standards required, examples are given at Appendix 3;
  - The review period. This will be a minimum of 6 working weeks and a maximum of 10 working weeks depending on the individual circumstances, given what is reasonable and proportionate in the circumstances.
  - The date of a mid-term interim and final review

- 12.7 In addition to the formal mid-term review, the teacher will be given regular / informal feedback on progress and arrangements will be made to modify the support plan if appropriate.
- 12.8 At the end of the review period it is normally the case that either:
- performance has improved;
  - improvements are being made, but more time is needed to assess. In these cases a further review period should be agreed, the outcome at which time would normally be that performance has improved or matters are still not improving;
  - matters are not improving
- 12.9 Before any further action is taken, the appraiser will discuss and agree the next steps with the Headteacher.
- 12.10 If sufficient progress is made such that the teacher is performing at a level that indicates there is no longer a possibility of capability procedures being invoked, the teacher should be informed at a formal meeting with the appraiser at which they have a right to be accompanied by their trade union representative or work colleague. Following this meeting the appraisal process will continue as normal.
- 12.11 If no, or limited improvement has been made over the period and / or there is a potential detriment to the educational provision being delivered to students, the appraisal process will be suspended whilst the capability procedure is initiated. The teacher will be informed of this decision at a formal meeting with the appraiser at which they have a right to be accompanied by their trade union representative or work colleague
- 12.12 The employee will receive written confirmation of the outcome.

### 13. Transition to the capability procedure

- 13.1 Transition to the capability procedure is not automatic. Where performance concerns emerge, the nature and seriousness of those concerns will be discussed as soon as possible with the teacher.
- 13.2 Every effort will be made to resolve performance concerns within the appraisal process through the provision of targeted additional support agreed in discussion with the teacher as outlined above.
- 13.3 Employees will not be placed on the formal capability procedure before they have had time to take on board the concerns raised about their performance and given an opportunity to change their practice with support or training.

### 14. Grievances

- 14.1 Where a member of staff raises a grievance during the appraisal process, the appraisal process may be temporarily suspended in order to deal with the grievance. Where the grievance and appraisal or capability cases are related it will normally be appropriate to deal with both issues concurrently and a grievance should not interrupt the prescribed timescales

### 15. Confidentiality, retention of records and General Data Protection Regulation

- 15.1 The appraisal process and the statements generated within it will be treated as confidential at all times. The Headteacher will ensure that access to appraisal records is restricted to enable the managers to undertake line management responsibility and that appropriate arrangements are in place for all appraisal records to be retained securely and confidentially in accordance with the retention schedule.
- 15.2 The Local Governing Body recognises that Ofsted can ask the school to provide anonymised

information of the outcomes of the most recent appraisal of all teachers and this will be provided on request.

- 15.3 Where the application of the capability process is required, an individual teacher's appraisal information will be made available but restricted to those staff and named governors as required to operate the procedure.
- 15.4 All data within this policy will be processed in line with the requirements and protections set out in the General Data Protection Regulation.

#### Document management

Review cycle:	Annually
Next review due:	July 2019
Policy owner	Head of Human Resources
Approving body:	Board of Trustees
Equality Analysis completed:	4.9.2017

## Appendix 1

### Lesson Observation protocol

#### 1. Introduction

- 1.1 The Trust is committed to ensuring that observation is developmental and supportive.
- 1.2 Accordingly, those involved in the process will:
- carry out the role with professionalism, integrity and courtesy;
  - seek to reach agreement in advance on how classroom observations will be carried out;
  - evaluate objectively, taking account of any particular circumstances affecting observation on the day;
  - report accurately and fairly

#### 2. Planning and preparation

- 2.1 The Headteacher will:
- Consult with teachers and union representatives concerning the overall pattern of observations for the academic year where the pattern varies from that previously agreed, seeking to reach agreement;
  - Ensure that the total period for observation arranged for any teacher will not exceed three visits per cycle, each of no more than an hour in length, having regard to the individual circumstances of the teacher;
  - Leave capacity for appraisers to agree with teachers the timing of any observation particular to that teacher's objectives;
  - Provide for those being observed for all purposes to receive final notice at least 5 working days in advance;
  - Arrange, as far as possible, for observations to take place at a time agreed with the teacher;
  - Ensure there is a reasonable amount of time between observations;
  - Ensure classroom observation is undertaken solely by persons with Qualified Teacher Status and the appropriate training and skills to undertake observation, provide constructive oral and written feedback in the context of professional dialogue. The observer should be able to provide any consequent support for the teacher or ensure this need is addressed by the relevant staff member.
- 2.2 Planning for observation will take place at the start of the appraisal cycle and will include details of:
- the amount of observation;
  - the focus of the observation;
  - the maximum duration of the observation;
  - when during the appraisal cycle the observation will take place; and
  - who will conduct the observation
- 2.3 Information gathered during the observation will be used, as appropriate, for a variety of purposes including informing the School / Academy self-improvement plan.

#### 3. Conducting observation

- 3.1 Time for preparation and feedback for classroom observation will occur as soon as possible and at an agreed time.
- 3.2 The total period for observation arranged for any teacher will not exceed three visits per cycle each of no more than an hour in length, having regard to the individual circumstances of the teacher.
- 3.3 The amount of observation for each teacher should reflect and be proportionate to the needs

of the individual and the School / Academy. In each case 'proportionate to need' will be determined by the particular role of the teacher and the focus of their objectives.

- 3.4 Classroom observations will only be undertaken by persons with QTS. Teachers with wider responsibilities, leading meetings or delivering INSET and so on, may be observed by an appropriate line manager who does not hold QTS.
- 3.5 The focus of the observation will be that which has already been agreed.
- 3.6 Oral feedback will be given as soon as possible after the observation and the appraiser will aim to provide this before the end of the following working day.
- 3.7 Feedback will be given in a suitable, private environment. Written feedback will be provided within five working days of the observation taking place.
- 3.8 If issues emerge from an observation that were not part of the focus of the observation, as recorded in the Appraisal Plan, these should also be covered in the written feedback and the appropriate action taken.
- 3.9 Where an Observer is not the appraiser, the outcomes will be disclosed to the appraiser to enable the Plan to be updated.
- 3.10 Neither students nor Governors will undertake observations, although Governors may, by arrangement and agreement with the teacher(s) concerned, visit a lesson (s) to familiarise themselves with the School / Academy in operation or in connection with their Link area.

#### 4. Records

- 4.1 The written record of feedback will include the date on which the observation took place, the lesson observed and the length of the observation. The teacher may add written comments on the feedback document. No written notes in addition to the written feedback will be kept.
- 4.2 It is recognised that an observation provides a snapshot, not an overview of a teacher's performance. Other information will be utilised to assess the teacher's overall effectiveness and the impact of their quality of teaching. Observation feedback will be formulated with reference to the Teachers' Standards (and any other standards relevant to the teacher) relevant to the activities observed. Any use of Ofsted grades is to enable Headteachers to report generic quality of teaching information to the Local Governing Body and The Trust, to identify School / Academy development needs and prepare the School / Academy for inspection.
- 4.3 Teachers will be provided with all written accounts of observations.

#### 5. Classroom observation and formal capability procedures.

- 5.1 Where evidence emerges about a teacher's performance which raises concerns during the cycle, additional observations to those recorded at the beginning of the cycle may be arranged, subject to the arrangements set out in this policy.
- 5.2 For teacher's entering the 'teachers experiencing difficulty' section of this policy, or those who are already on a formal capability procedure, an important part of the support offered will be a clearly defined amount of observation, with structured oral and written feedback. The amount of observation will be discussed with the teacher and, as appropriate, their union representative.

## SUPPORT PLAN

Teacher..... Appraiser ..... Meeting date .....

<b>Nature of concern:</b> <i>Explain what the performance concern is</i>				
What is the standard to achieve?	Which skills need to be developed?	What support is needed?	What evidence will be used to decide if the standard has been achieved?	Timescale
<i>Specific, clear targets should be used so that all parties are completely clear what is required.</i>	<i>Focus on what needs to change required to meet the standard</i>	<i>Both parties should come with ideas on support and opportunities to meet the standards for example CPD, peer support, observing colleagues, observation</i>	<i>What will be used to determine progress and achievement</i>	<i>Target achievement date</i>

Interim review (s) scheduled for: (date, time, venue)

Final review scheduled for: (date, time, venue)

### Appendix 3

#### Examples of support

- Attendance at a course or conference
- In-school training
- Use of particular expertise available within a school
- Appointment of a buddy or mentor
- Opportunities to shadow a colleague
- Peer coaching
- Observing colleagues
- Provision of specialist support to develop subject expertise
- Provision of specialist support to develop teaching skills
- Secondments to other schools to observe different practice
- Activities to update subject knowledge
- On-line learning
- Team based activities
- Accredited learning
- Participating in professional networks
- Partnership activity for example group or subject based activities