

Teachers' Appraisal Policy

Version 7.0

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POLICY STATEMENT

The Education Alliance seeks excellence through inspirational leadership, teamwork, innovation and challenge, with the following values:

- Working together for students
- Generating ideas and sharing outstanding practice
- Promoting independence and interdependence
- Encouraging questioning, feedback and challenge

The Education Alliance has four guiding principles:

- Focus on learners to drive decisions
- Believe in the team
- Keep it simple, do it right
- See it, own it, make it happen

The Education Alliance's success relies on the performance of its workforce. Through this policy, the Trust aims to:

- Adopt a Trust framework for the clear and consistent assessment of the overall performance of Teachers, including the Chief Executive, the Executive Principal and Heads of School
- Review regularly the standards, processes and resources in place to ensure effective application of the framework
- Embed an understanding that effective Appraisal is key to driving forward improvements in Teaching and Learning
- Provide learning and development opportunities for staff to operate successfully within the framework and to meet the objectives set through Appraisal
- Continue to improve the delivery and the outcomes of Appraisal to raise the achievement of students across all areas of the curriculum
- Monitor the effectiveness of each aspect of the framework to ensure an effective and appropriate appraisal process for all teachers

1. PURPOSE AND SCOPE

The rationale for this policy is as follows:

- Trust improvements are driven by an effective framework for clear and consistent appraisal of overall performance of all Teachers including the Chief Executive, Executive Principal and Heads of School.
- A climate of effective staff appraisal directly improves the development of all individual students in the Trust
- Appraisal processes are essential for supporting staff professional learning and development within the context of each school's improvement plan
- Effective appraisal boosts staff morale, self-evaluative skills, performance, wellbeing and sense of purposeful contribution to whole school improvement
- Capability processes should be transparent, supportive and personalised to effectively drive improvement in Teaching and Learning and undertaken in accordance with the provisions of the ACAS Code of Practice on Disciplinary and Grievance Procedures.

2. ROLES AND RESPONSIBILITIES

The **Board of Trustees** is responsible for approving this policy, monitoring its effectiveness and ensuring that adequate resources are available to support teaching and learning within each school.

The **CEO** is responsible for ensuring that staff are treated fairly and consistently in the application of this policy and procedure.

The **Human Resources Department** and the **Teaching and Learning Team** are responsible for ensuring that all teaching staff are aware of this policy and procedure and that training is delivered for managers and appraisers. The HR team will also ensure that the policy is implemented fairly and consistently and that staff are treated with dignity and respect.

Appraisers must ensure they carry out their responsibilities fairly and consistently. Appraisers must also:

- Attend appropriate training
- Monitor appraisal progress against standards and objectives
- Ensure appraisees are given appropriate support throughout the appraisal cycle
- Comply with the requirements of the Equality Act 2010

Teaching staff are required to engage in the appraisal cycle, seeking support, clarification, advice and guidance as necessary and accessing teaching and learning offered and agreed.

3. EQUALITY AND DIVERSITY

The Education Alliance is committed to:

- Eliminating discrimination and promoting equality and diversity in its policies, procedures and guidelines
- Delivering high quality teaching and services that meet the diverse needs of its student population and its workforce, ensuring that no individual or group is disadvantaged

4. APPLICATION OF THE POLICY

This policy details the framework for teaching staff appraisal. It should be read in conjunction with the Capability Policy and other relevant policies.

The policy applies to the Chief Executive, Executive Principal, Heads of School and to all Teachers with QTS employed by the school except Teachers on contracts of less than one term and those undergoing induction (i.e. NQTs). Teachers with QTLS will be appraised in accordance with this policy framework unless otherwise agreed with the Executive Principal/CEO.

Where persistent inadequacies are identified through appraisal and/or feedback, the Appraisal Policy ceases to apply and the individual is subject to the processes detailed in the Capability Policy. This latter policy sets out the formal capability procedure and applies only to staff whose performance results in serious concerns due to persistent inadequacies which the appraisal cycle and ongoing feedback, professional development and support have been unable to adequately address.

This policy should be read in conjunction with the Staff Code of Conduct, the Trust Teacher standards and expectations, Learning and Development and Pay policies, which provide specific details of arrangements relating to standards, development and professional learning and Teachers' pay.

5. SCHOOL IMPROVEMENT AND DEVELOPMENT PLANNING

Effective Appraisal processes drive forward school improvement within a framework of whole school planning and self-evaluation. For ongoing monitoring, evaluation and development planning, the collective processes of the Appraisal framework are a prime source of information for the evaluation of teaching and learning standards.

Similarly, the School Development Plan and the school's monitoring and self-evaluation records are key documents within the Appraisal framework.

All Appraisers are expected to assure the alignment of Teachers' objectives with school priorities and plans. The objectives should also reflect Teachers' alignment with Trust values and core purpose.

6. APPRAISAL CYCLE

The overall performance of Teachers must be reviewed on an annual basis, which includes a mid-year review and an end of year review. The Appraisal period will run for twelve months from 1 November to 31 October for Teachers. Teaching staff leaving part-way through the year are encouraged to complete their appraisal documentation as much as possible prior to leaving.

Teachers who are employed on a fixed term contract of less than one year will have their performance managed in accordance with the principles underpinning the provisions of this policy. The length of the cycle will be determined by the duration of their contract.

Where a Teacher starts their employment at the school part-way through a cycle, the Executive Principal or, in the case where the Teacher is the Executive Principal, the CEO shall determine the length of the first cycle for that Teacher, with a view to bringing their cycle into line with the cycle for other Teachers at the school as soon as possible.

Where a Teacher transfers to a new post within the school part-way through a cycle, the Executive Principal or, in the case where the Teacher is the Executive Principal,

the CEO shall determine whether the cycle shall begin again and whether to change the Appraiser and/or amend objectives.

7. APPOINTING APPRAISERS

The CEO will be appraised by members of the Trust Board, supported by a suitably skilled and / or experienced external adviser who has been appointed by the Trust Board for that purpose.

The Heads of School will delegate the Appraiser role for some or all Teachers for whom s/he is not the direct line manager within their respective schools. All Appraisers to whom the CEO has delegated the role will receive appropriate preparation and training for that role. Line Managers where possible, practicable, fair and equitable will be the Appraisers for all those Teachers whom they line manage. Where the Appraiser is not the Teacher's direct line manager the Appraiser will have a higher status in the staffing structure than the Teacher they review. Where a Teacher has more than one line manager the Executive Principal will determine which line manager will be best placed to manage and review the Teacher's performance. Leaders, where not the Appraiser, will be able to assure the objectives set by staff in the team for which they have direct responsibility, thus ensuring objectives set are in-line with development and improvement plans.

Where it becomes apparent that the Appraiser will be absent for the majority of the cycle the Head of School may perform the duties himself/herself or delegate them in their entirety to another Teacher.

Should the Appraiser change mid-cycle, the Appraisal cycle will not begin again.

The Executive Principal will moderate a sample of written Appraisal statements to ensure:

- Objectives, written feedback and expectations are consistent with a Teacher's experience, responsibilities and offer the progression necessary for professional development;
- Objectives comply with the school's core purpose and values

8. SETTING OBJECTIVES

The CEO's objectives will be set by members of the Trust Board after consultation with the external advisor.

Objectives should be set in the Appraisal meeting before, or as soon as practicable after, the start of each Appraisal period. The objectives set for all staff will be specific, measurable, achievable, time-bound, fair and equitable in relation to the Teacher's responsibilities and experience and consistent with the school's strategy for achieving a work-life balance for all staff. They shall also take account wherever possible of the Teacher's professional aspirations, Trust and School succession planning, career pathways and any relevant pay scale / progression criteria.

The Appraiser and Teacher will seek to agree the objectives but where a joint determination cannot be made the Appraiser will make the determination. If there is a failure to agree, the Appraiser will flag this with the Head of School. The Teacher can add comments to the appraisal documentation highlighting any points of disagreement, which the Appraiser should share with the Head of School, who will consider this as part of the moderation process.

Objectives should be such that they will, if achieved, contribute to the school's plans for improving provision, performance, and the education of all pupils at the school. Teachers will normally set three objectives, which should align with the main headings of the school development plan.

It is vital that, in order for the Appraisal process to be meaningful and appropriately challenging, there is serious consideration given to the impact of the objectives for each teacher, if accomplished. Both the Appraiser as well as the Appraisee need to ensure that each objective is tied to an impact statement as part of the planning process.

Although Appraisal is an assessment of overall performance of Teachers, including the CEO, the Executive Principal and the Heads of School, objectives cannot cover the full range of a Teacher's roles/responsibilities. Objectives will, therefore, focus on the priorities for an individual using the Teachers standards and expectations as a backdrop alongside the framework for Appraisal must be applied in correlation with all relevant policies, for example Expectations and Code of Conduct.

Teachers are encouraged to use their appraisal throughout the year as a working document. If there is a material change affecting objectives the objectives may be reviewed informally by the Appraiser and the Teacher. Failure to agree on objectives should be flagged by the Appraiser to the Head of School.

9. REVIEWING PERFORMANCE

The final Appraisal review meeting is the end point to the annual Appraisal cycle, but performance and development priorities will be reviewed and addressed on a regular basis throughout the year. At least one interim review of objectives will take place during the mid-year review (via progress review meetings during the second half of the Spring Term) during directed time. Overall performance of the Teacher will be reviewed and evidenced in a range of ways and not limited to a single measure.

Teachers will also expect to receive supportive constructive feedback on their performance throughout the Appraisal period from line managers, Appraisers and those in Senior Leadership roles with specific responsibilities for Teaching and Learning. Feedback will highlight particular areas of strength as well as any areas that need attention for development. Where there are concerns about any aspects of the Teacher's performance the senior leader/line manager/Appraiser will meet the Teacher in order to:

- give clear feedback to the Teacher about the nature of the concerns;
- give the Teacher the opportunity to respond and discuss the concerns and any

- mitigation;
- agree any support (e.g. training, CPD, counselling, coaching, mentoring, structured observations), that will be provided to help address those specific concerns within agreed timescales;
- make clear how, and by when, the Appraiser or designated other will review progress against objectives set;
- explain the implications and process if no – or insufficient – improvement is made and any inadequacies become persistent.

Teachers should be encouraged to access trade union support which their union can provide for them.

When progress is reviewed at the end of the Appraisal period, if the Appraiser is satisfied that the Teacher has made, or is making, sufficient improvement, the Appraisal process will continue as normal.

10. ANNUAL ASSESSMENT

Each Teacher's performance will be formally assessed at the end of the Appraisal period.

At the end of the cycle assessment of performance against objectives and job description will be on the basis of the success criteria set in writing at the beginning of the cycle. 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. Progress towards the achievement of an objective, where the success criteria have not been met in full, will be assessed in a fair and equitable way.

The Appraisal cycle is annual, but on occasions it may be appropriate to set objectives that will cover a period over more than one cycle. In such cases, the basis on which the progress being made towards meeting the performance criteria for the objective will be assessed at the end of the first cycle and will be recorded in the planning and review statement at the beginning of the new cycle.

The Appraiser and Teacher will complete as soon as practicable following the end of each Appraisal period – and have the opportunity to comment further in writing on - a formal written Appraisal report. Appraisers and Teachers will finalise their written Appraisal reports in SIMS by 31 October (31 December for the CEO). The formal written 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 training and development needs and identification of any action that should be taken to address them;
- a recommendation on pay (to be completed as detailed in the Pay Policy)

11. EXPERT TEACHER/LEADERSHIP PROGRESSION

The school will consider applications for progression to Expert Teacher from members of staff. Teachers will need to apply for Expert Teacher by completing the application form and submitting accompanying evidence.

Teachers planning to apply for consideration for Expert Teacher must have been working towards the relevant standards and show evidence of such in their application.

All Expert Teachers will be assessed against the Expert Teacher standards, which can be accessed from the HR Department.

Teachers on the Leadership scale L1-5 (stretch 6) will be entitled to apply for progression to Leadership point 6. Evidence should be presented to accompany the application in order to provide appropriate context. The application will be reviewed by a member of the SLT.

12. APPEALS AND GRIEVANCES

It is expected that attempts should be made to resolve any issues or concerns raised with the SLT link prior to a formal appeal being submitted. However, should this be unsuccessful, Teachers have a right of appeal against any of the entries in their end of year review. Where a Teacher wishes to appeal on the basis of more than one entry this would constitute one appeal hearing.

Where the CEO is of the opinion that any of the Trustees appointed by the Trust Board under this regulation is unsuitable for professional reasons, s/he may submit a written request to the Trust Board for that Trustee to be replaced, stating those reasons.

Where a Teacher is of the opinion that the person to whom the CEO/Executive Principal has delegated the Appraiser's duties is unsuitable for professional reasons, s/he may submit a written request to the CEO for that Appraiser to be replaced, stating those reasons.

13. TRANSITION TO CAPABILITY

If the Appraiser is not satisfied with progress, and inadequacies are persistent, the Teacher will be invited to a pre-capability meeting with their Head of School and the Teacher will be encouraged to access trade union support. Teachers in formal capability will not follow the Appraisal system while their performance is managed under the Capability Procedure.

14. LEARNING, DEVELOPMENT AND SUPPORT

Appraisal is a supportive process which will be used to inform continuing professional development. The Trust wishes to encourage a culture in which all teachers take responsibility for improving their teaching through appropriate professional

development, through peer observation for example. Each school's Learning and Development programme will be informed by the development needs identified in the training section of the Teacher's written Appraisal record (in SIMS). Where the Appraisal objectives of any teacher link directly to the Professional Development programme, care should be taken to ensure that every opportunity is provided to allow teachers to meet that objective.

With regard to the provision of professional development opportunities for individual Teachers, a decision on relative priority will be taken with regard to the extent to which: (a) the training identified is essential for a Teacher to meet their objectives; and (b) meeting the objective will help the school to achieve its priorities. The school's priorities will have precedence. Teachers will not be held accountable for failing to make good progress towards meeting their objective where the support recorded in the written Appraisal planning record has not been available.

15. RETENTION OF STATEMENTS

Written Appraisal planning and review statements will be retained in a secure place for a period of 6 years and will then be destroyed.

16. CONFIDENTIALITY

The Appraisal and Capability processes will be treated with confidentiality. However the desire for confidentiality does not override the need for the CEO (and / or delegated Senior Leader/s where appropriate) and both the Trust Board and Local Governing Bodies to quality assure the operation and the effectiveness of the system.

17. MONITORING AND REVIEW OF THE POLICY

The Trust Board will review the application of the Appraisal Policy every school year.

To ensure Teachers are fully conversant with the Appraisal arrangements, all new Teachers who join the school will be briefed on them as part of their introduction to the school.

The Trust Board and the CEO will monitor the operation and the effectiveness of the Trust's Appraisal arrangements.

18. MONITORING AND EVALUATION OF TEACHING AND LEARNING

Appraisal is a supportive process which will be used to inform continuing professional development and teachers are encouraged to use a range of evidence (such as zonings and learning walks, book scrutinies, data analysis and feedback from colleagues). The Trust wishes to encourage a culture in which monitoring of classroom practice is seen as important as a way of assessing teachers' performance

in order to identify any particular strengths and areas for development, therefore providing a means of informing school improvement through monitoring and evaluation, e.g. sharing best practice.

Observations will be carried out in a supportive co-operative fashion. Those involved in the process will:

- carry out the role with professionalism, integrity and courtesy
- notify in advance – at least five working days’ notice
- evaluate objectively
- report accurately and fairly
- respect the sensitivity of the information gained
- hold Qualified Teacher Status
- have adequate preparation and appropriate professional skills to undertake observation and to provide constructive oral and written feedback and support, in the context of professional dialogue between colleagues

In addition to formal observation, the CEO or other leaders with responsibility for teaching standards may “drop in” in order to evaluate the standards of teaching and to check that high standards of professional performance are established and maintained as part of the wider Monitoring and Evaluation policy. The length and frequency of “drop in” observations will vary depending on specific circumstances.

For the purposes of appraisal, Teachers’ performance will be observed on an appropriate and reasonable number of occasions and will, as far as possible, be agreed by the appraiser with the appraisee based on the individual circumstances of the teacher and the overall needs of the school. The number and duration of observations will be in accordance with the school’s observation protocol, which includes provision for exceptional circumstances where concerns have been raised about a teacher’s performance, or where the teacher requests additional observation visits. Arrangements for observations should be agreed in a planned way and under normal circumstances they should not exceed 3 hours per year.

The specific arrangements for classroom observation pertaining to the Appraisal cycle and the Teacher’s objectives will be set down in the written Appraisal planning statement.

Verbal feedback will be given as soon as possible after the observation, at least by the end of the next school day. It will be given at a prearranged appropriate time (preferably directed time) in a suitable, private environment. For the purpose of professional development, feedback about lesson observations should be developmental. Judgment about the performance of the member of staff will be made in reference to the National Teacher Standards and the Trust guides relating to standards and expectations. The standard expectation will be that a judgment will be made that reflects a **typicality** of the individual teacher performance and will be arrived at based not only on the basis of one observation but that also takes into account a typical picture of teacher performance over the appraisal period.

Written feedback will be provided within five working days of the observation taking place. If issues emerge from an observation that were not part of the focus of the

observation as recorded in the SIMS Appraisal planning statement these should also be covered in the written lesson observation feedback and the appropriate action taken in accordance with the regulations and guidance. The Teacher has the right to append written comments on the lesson observation feedback form.

19. MONITORING COMPLIANCE

Effectiveness and compliance of this Policy and Procedure will be monitored via the reporting and auditing management of sickness absence issues as they arise.

20. ASSOCIATED DOCUMENTATION

Capability Policy
Teacher Standards and Expectations
Observation Protocols