



Appraisal Policy for Teaching Staff

Document Name	Approval Date	Next Revision Date
Appraisal Policy for Teaching Staff		
- V1.0 based on DCC standard	October 2015	October 2018
- V1A re-approved with no substantive changes	03/10/2018	02/10/2021

The Directors have paid due regard to the impact of all aspects of equality in the writing of this policy

1 APPLICATION OF THE POLICY

- 1.1 The policy applies to the CEO, Heads of School and to all teachers employed by the Trust except teachers on contracts of less than one term, those undergoing induction (i.e. NQTs) and those who are the subject of capability procedures. Appraisal is central to both improvement within the Trust and teachers' personal development, as on-going supportive process.

2. PURPOSE

- 2.1 This policy sets out the framework for a clear and consistent assessment of the overall performance of teachers, including the CEO and Heads of School, and for supporting their development within the context of the improvement plans for the individual schools and across the Trust, and of the standards required of teachers.

3. THE APPRAISAL CYCLE

The appraisal period will normally run from September to July.

The appraisal cycle will run **on an annual basis**. Appraisal planning and reviews must be completed for all teachers by 31 October and for the CEO and Heads of School by 31 December.

Teachers who are employed on a fixed term contract of less than one year will have their appraisal 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 his/her employment at the school part-way through a cycle, the CEO or, in the case where the teacher is the CEO, the Trust Board shall determine the length of the first cycle for that teacher, with a view to bringing his/her 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 Trust part-way through a cycle, the CEO or, in the case where the teacher is the CEO, the Trust Board shall determine whether the cycle shall begin again and whether to change the reviewer.

4. APPOINTMENT OF REVIEWERS FOR THE CHIEF EXECUTIVE OFFICER (CEO) AND HEADS OF SCHOOL

The CEO will be appraised by a committee drawn from the Trust Board together with an external adviser.

The Heads of School will be appraised by the CEO together with a representative of his/her Local Governing Body.

5. APPOINTMENT OF REVIEWERS FOR TEACHERS

All reviewers must be appropriately trained to appraise staff effectively and ensure equal treatment.

In the case where the Head of School is not the teacher's line manager, the Head of School may delegate, as appropriate, the duties imposed upon the reviewer, in their entirety, to the teacher's line manager.

The maximum number of appraisees that any line manager will be expected to undertake per cycle is 6.

Where a teacher is of the opinion that the person to whom the Head of School has delegated the reviewer's duties is unsuitable for professional reasons, s/he may submit a written request to the Head of School for that reviewer to be replaced, stating those reasons.

Where it becomes apparent that the reviewer will be absent for the majority of the cycle or is unsuitable for professional reasons, the Head of School may perform the duties himself/herself or delegate them in their entirety to another teacher.

Where this teacher is not the appraisee's line manager, the teacher will have an equivalent or higher status in the staffing structure as the teacher's line manager.

All line managers to whom the Head of School has delegated the role of reviewer will receive appropriate preparation for that role.

6. OBJECTIVE SETTING

The objectives agreed with each appraisee will contribute to the Trust's plans for improvement within the individual schools, improving pupil progress and the professional development of the teacher.

The objectives set will be rigorous, challenging, achievable, time-bound, fair and equitable in relation to teachers with similar roles/responsibilities and experience. They should reflect the need for a satisfactory work-life balance.

They shall also take account of the teacher's professional aspirations and any relevant pay progression criteria, including preparation for threshold application.

It is recommended that objectives for the coming academic year should be discussed during the previous July and agreed before the end of September

The reviewer and appraisee will seek to agree the objectives but where a joint determination cannot be made the reviewer will make the determination. The objectives must be reasonable within the timescale allowed.

Appraisees who have responsibilities outside the classroom should normally expect to have objectives related to those responsibilities included, e.g. leadership of a subject.

In this Trust:

- The number of objectives set to all teachers, including the Heads of School, will be determined by context and circumstances.
- Though appraisal is an assessment of the overall performance of teachers, Heads of School, objectives cannot cover the full range of an individual's roles or responsibilities. Objectives will, therefore, focus on the priorities for an individual for the cycle.
- At the review stage, individuals will also need to demonstrate that those aspects of a teacher's roles or responsibilities not covered by the objectives have been carried out satisfactorily in accordance with the prevailing regulations and Teachers' Standards.

7. REVIEWING PROGRESS TOWARDS MEETING OBJECTIVES

7.1 Observation

- The number and type of classroom observations will depend on the individual circumstances of the appraisee and the overall needs of the school. Normally no more

than three visits will be made unless additional visits are required to address significant concerns have been identified and these have been documented with appropriate evidence.

- In any observation of a teacher's practice, clear criteria about how that practice will be judged should be established and shared with the teacher before any observation has taken place.
- In addition to formal observation, Heads of School, other leaders or advisors 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.

7.2 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. Professional development will be linked to improvement priorities within the Trust and to the ongoing professional development needs and priorities of individual teachers.

7.3 Feedback

Appraisees will receive feedback on their performance throughout the year and as soon as practicable after any observation.

7.4 Appraisal

- At the end of the cycle, each appraisee's performance will be formally assessed.
- This assessment is the end point to the formal process but performance and development priorities will be considered and addressed on a continuous basis throughout the year in a series of informal meetings which will take place (*e.g. once a term*). This process should not lead to additional objectives being set but there could be modification to existing objectives.
- There should not be any 'surprises' at the end of the review period. If the reviewer has any concerns about performance, these should be discussed with the appraisee as soon as possible so that s/he has an opportunity to address these issues.
- The appraisee will receive – and have the opportunity to comment on - a written appraisal report. The appraisal report will include:
 - ◆ details of the appraisee's objectives;
 - ◆ an assessment of the appraisee's performance against their objectives for the relevant period and the relevant Standards required of teachers, having regard to their job description/role in the school;
 - ◆ a determination of the teacher's training and development needs and the actions that will be taken to address them;
 - ◆ a recommendation on pay where relevant.

8. TRAINING AND SUPPORT

- The Trust wishes to encourage a culture in which all teachers expect to undertake a programme of continuing professional development that is linked to improvement priorities within the Trust and to their own individual ongoing professional development priorities and needs.

- The Trust's CPD programme will be informed by the training and development needs identified in the training annex of the appraisees' planning and review statements.
- The Trust will ensure in the budget planning that, as far as possible, appropriate resources are made available in budgets for any training and support agreed for appraises.
- An account of the training and development needs of teachers in general, including the instances where it did not prove possible to provide any agreed CPD, will form a part of the CEO's annual report to the Trust Board about the operation of the appraisal process.

9. TEACHERS EXPERIENCING DIFFICULTIES

When dealing with a teacher experiencing difficulties, the objective is to provide support and guidance through the appraisal process in such a way that the teacher's performance improves and the problem is, therefore, resolved.

Where it is apparent that a teacher's personal circumstances are leading to difficulties at school, support will be offered as soon as possible, without waiting for the formal annual assessment.

If an appraiser identifies through the appraisal process, or via other sources of information, for example parental complaints, that the difficulties experienced by a teacher are such that, if not rectified, could lead to capability procedures the appraiser, the Head of School, or a member of the leadership team, will, as part of the appraisal process meet the teacher to:

- give clear written feedback to the teacher about the nature and seriousness of the concerns;
- give the teacher the opportunity to comment on and discuss the concerns;
- give the teacher at least 5 working days' notice that a meeting will be held to discuss targets for improvement alongside a programme of support, and inform the teacher that he/she has the right to be assisted by a representative of an independent trade union or work place colleague, and at any future meetings where capability will be discussed;
- establish, in consultation with the teacher at the above meeting, an action plan with support (for example coaching, training, in-class support, mentoring, structured observations, visits to other classes or schools or discussions with advisory teachers) that will help address those specific concerns;
- make clear how progress will be monitored and when it will be reviewed;
- explain the implications and process if no – or insufficient – improvement is made.

The teacher's progress will continue to be monitored as part of the appraisal process and a reasonable time given for the teacher's performance to improve. This will depend upon the circumstances, but will be for a minimum of six weeks, with appropriate support as agreed in the Action Plan, in order that the aim of recovering and improving performance can be achieved. During this monitoring period the teacher will be given regular feedback on progress and arrangements will be made to modify the support programme if appropriate.

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 of this at a formal meeting with the appraiser, Head of School or CEO. Following this meeting the appraisal process will continue as normal.

If no, or insufficient, improvement has been made over this period, the teacher will be invited to a transition meeting to determine whether formal capability proceedings need to be

commenced or the appraisal process remains in place. The teacher may be assisted by a trade union representative or work colleague and will have at least 5 working days notice of the meeting.

10 APPEALS

- When objectives are set or reviewed, teachers and Heads of School have a right of appeal against any of the entries in their planning and review statements.
- Where an appraisee wishes to appeal on the basis of more than one entry this would constitute one appeal hearing.
- Appeals will be heard by the CEO (unless the CEO is the reviewer, where the appeal will be heard by a nominated Trust Board member). If this does not resolve the appeal, a panel of three Trust Board members will review the appeal.

11. CONFIDENTIALITY

- The whole appraisal process and the statements generated under it, in particular, will be treated with strict confidentiality at all times.
- Only the CEO, the appraisee's Head of School and line manager or, where s/he has more than one, each of her/his line managers will be provided with access to the appraisee's plan recorded in her/his statement, upon request, where this is necessary to enable the line manager to discharge her/his line management responsibilities. Appraisees will be told who has requested and has been granted access.

12. MONITORING AND EVALUATION

- The Trust Board will monitor the operation and outcomes of appraisal arrangements.
- The CEO will provide the Trust Board with a written report on the operation of the Trust's appraisal policy annually. The report will not contain any information which would enable any individual to be identified. The report will include:
 - ◆ the operation of the appraisal policy across the Trust and within each school;
 - ◆ the effectiveness of the Trust's appraisal procedures;
 - ◆ teachers' training and development needs.
- The CEO will also report on whether there have been any appeals or representations on an individual or collective basis on the grounds of alleged discrimination under any of the categories above.

13. CONSISTENCY OF TREATMENT AND FAIRNESS

- The Trust is committed to ensuring consistency of treatment and fairness in the operation of appraisal.
- The CEO will oversee the appraisal process and take whatever steps are needed to ensure moderation, quality assurance and objective setting.