

TEACHER AND EXECUTIVE STAFF APPRAISAL POLICY

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Teaching Staff Appraisal Policy

1. Introduction

Revised appraisal arrangements for teachers come into force with effect from 1 September 2012. They are set out in the Education (School Teachers' Appraisal) (England) Regulations 2012, revised March 2019 (the Appraisal Regulations) which replace the Education (School Teacher Performance Management) (England) Regulations 2006 (the 2006 Regulations).

The Appraisal Regulations set out the principles that apply to teachers in all maintained schools and centrally employed (or unattached) teachers employed by a local authority, in each case where they are employed for one term or more. It is also good practice for academies to follow the appraisal regulations although they are not legally required to do so. They provide the minimum national framework within which schools should operate and say nothing, or very little, on many subjects on which the 2006 Regulations made detailed provision. The Department for Education model (May 2012) states that, if they wish, schools may include in their own policies details that are no longer covered by the Appraisal Regulations.

Schools and local authorities must stay within the legal framework set out in the Appraisal Regulations and in other relevant legislation that affects all employers (for example legislation on equality, employment protection and data protection).

Schools and local authorities must have an appraisal policy for teachers and a policy, covering all staff, which deals with capability. This policy, updated in spring 2019 from the model policy, has been provided as an optional resource for schools and others to which they can refer as they wish as they review and develop their own policies. It applies only to teachers, including headteachers, but schools might wish to adapt it for use with all staff. It has been written in the context of schools, but the same principles apply to centrally employed (or unattached) teachers. It is good practice for schools to consult staff on their appraisal and capability policies.

This policy covers teachers, headteachers and executive staff, and is based on part A of the Department for Education model (May 2012). On 1 September 2012 it superseded the previous national performance management model policy and guidance, which had been designed to support the 2006 Regulations.

In this policy **text in bold** indicates statutory requirements contained in the Appraisal Regulations or the School Staffing Regulations as advised by the Department for Education.

2. Purpose

Appraisal in this Trust will be a supportive and developmental process designed to ensure that all teachers and executive staff have the skills and support they need to carry out their role effectively. It will help to ensure that all of these colleagues are able to continue to improve their professional practice and to develop.

This policy sets out the framework for a clear and consistent assessment of the overall performance of teachers, including the Headteacher, and for executive staff, and for supporting their development within the context of the Trust's plan for improving educational provision and performance, and the standards expected of teachers, headteachers and executive staff.

Where colleagues are eligible for pay progression, the assessment of performance throughout the cycle against the performance reviewed under this process will be the basis on which the recommendation is made by the reviewer.

This policy should be read in conjunction with the Teacher's Pay Policy which provides details of the arrangements relating to teacher's pay in accordance with the School Teachers' Pay and Conditions Document.

All reviewers are expected to explore the alignment of reviewees' objectives with the Trust's priorities and plans. The objectives should also reflect reviewees' professional aspirations wherever possible.

3. Application of the Policy

Part A of the Department for Education model policy, which covers appraisal, applies to the Headteacher and to all teachers employed by the Trust, except those on contracts of less than one term, those undergoing induction (i.e. NQTs) and those who are subject to Part B of the policy. This model Appraisal Policy covers Part A of the Department for Education model policy and includes executive staff. Part B is covered by the Trust's Capability Policy and Procedure for Teaching Staff.

This policy as well as the Trust's Capability policy should always be applied in a way that is robust whilst minimising the impact on workload for teachers, line managers, headteachers and executive staff.

4. The Appraisal Period

The appraisal period will run for twelve months from 1st September to 31st August for teachers and from 1st September to 31st August for the Headteacher and executive staff.

Colleagues who are employed on a fixed term contract of 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 and an individual's objectives should take account of the length of contract.**

The Headteacher (or, in the case of the Headteacher, the CEO, and in the case of the CEO, the Trust Board) will determine whether a longer or shorter appraisal period will apply when colleagues begin or end employment within the Trust..

5. Appointing Appraisers

The Headteacher and executive staff will be appraised by the CEO.

In this Trust, the task of appraising the CEO, including the setting of objectives, has been delegated to a sub-group consisting of two or three members of the Trustees who will be the Performance Management Review Panel for the CEO supported by a suitably skilled and/or experienced external adviser who has been appointed by the Trustees for that purpose.

The Headteacher and CEO will decide who will appraise senior team colleagues and other teachers.

6. Setting Objectives

The Headteacher's objectives will be set by the CEO after a meeting with the Chair of the school's Academy Committee and the Headteacher.

The objectives set for the Headteacher will be Specific, Measurable, Achievable, Realistic and Time-bound (SMART) and will be appropriate to the Headteacher's role, reflecting the standards and performance expected of the school and strategic development of the Trust's services. The CEO and Headteacher will seek to agree the objectives but, if that is not possible, the CEO will determine the objectives. Objectives may be revised if circumstances change.

The executive staff's objectives will be set by the CEO or as delegated by the CEO, and will take into account the Trust's strategic plan. The objectives set will be SMART.

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

Senior leaders' objectives relating to school leadership and management and pupil progress will be set before, or as soon as practicable after, the start of each appraisal period by the Headteacher with the agreement of the member of staff but, in default of agreement, the Headteacher must set such performance objectives. The objectives set SMART and will be appropriate to their role, including their reflecting professional, leadership and managerial input to the school and strategic development of the Trust's services. Objectives may be revised if circumstances change.

Objectives for each teacher will be set before or as soon as practicable after, the start of each appraisal period. The objectives set for each teacher, will be SMART and will be appropriate to the teacher's role and level of experience. The appraiser and teacher will seek to agree the objectives but, if that is not possible,

the appraiser will determine the objectives. Objectives may be revised if circumstances change.

The objectives set for each teacher will, if achieved, contribute to the Trust's plans for improving the school's educational provision and performance and improving the education of pupils at that Trust. This will be ensured by appropriate quality assurance measures which will check that all objectives for teachers align with the Trust's priorities and the Trust's improvement priorities and plans; are consistent between those who have similar experience and similar levels of responsibility; and comply with the Trust's performance management process, the regulations and the requirements of equality legislation. These measures will include moderation of objectives by the Headteacher or appropriate senior staff.

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. All teachers will be assessed as a minimum against the set of standards contained in the document called "Teachers' Standards" published by the DfE. The Headteacher or CEO/Trustees (as appropriate) will need to consider whether certain staff should also be assessed against other sets of standards published by the Secretary of State that are relevant to them.

All appraisers have a duty to have regard to the work-life balance of the appraisees and objectives will reflect this.

7. Reviewing Performance

Observation

This Trust believes that observation of practice and other responsibilities is important both as a way of assessing colleagues' performance in order to identify any particular strengths and areas for development they may have and of gaining useful information which can inform school improvement more generally and enabling colleagues to learn from each other and collaborate. All observation will be carried out in a supportive fashion and not to add to workload. Observations of teachers will be carried out in accordance with each school's Classroom Observation Procedure.

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 of the Trust. Classroom observation will be carried out by those with qualified teacher status (QTS). In addition to formal observation, Headteachers 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. The length and frequency of "drop in" observations will vary depending on specific circumstances and will be discussed with the relevant staff with reference to appropriate trade union guidance.

Other evidence

Assessment of teachers' and headteachers' performance will also include:

- pupil progress data
- quality of teaching against the Teaching/Headteachers' Standards
- self-assessment
- professional dialogue
- received feedback
- performance management statements
- Continuing Professional Development records

Teachers (including the Headteacher) who have responsibilities outside the classroom should also expect to have their performance of those responsibilities for leadership and management observed and assessed.

For school senior staff, this will include evidence of, but is not limited to:

- playing a critical role in the life of the school
- inspiring those around them and working with others to create a shared strategic vision which motivates pupils and staff
- taking a lead in enhancing standards of teaching and learning and valuing enthusiasm and innovation in others
- having confidence and ability to make management and organisational decisions and ensure equity, access, and entitlement to learning
- undertaking professional duties appropriately, as delegated by the Headteacher
- managing staff and resources appropriately (where relevant)

For the Headteachers and executive staff this will include evidence of, but is not limited to:

- playing a critical role in the life of the Trust
- consulting and communicating effectively with the Academy Committees and, where appropriate, the Trust Board, staff, pupils, parents, and carers (where applicable)
- providing overall strategic leadership by leading, developing, and inspiring those around them and working with others to create a shared strategic vision, values and priorities for the school which motivates pupils and staff
- leading and ensuring the effective management of teaching and learning throughout the Trust, taking a lead in enhancing standards of teaching and learning and of pupil progress
- having confidence and ability to make management and organisational decisions and ensure equity, access, and entitlement to learning
- managing staff and resources appropriately, by leading, managing, and developing the Trust's workforce, including ensuring the appraisal and management of performance, valuing enthusiasm and innovation in others
- collaborating and working effectively with colleagues and other relevant professionals within and beyond the school/Trust, including relevant external agencies and bodies
- where applicable, undertaking proficiently the full range of professional duties and responsibilities as required of a Headteacher in STPCD
- adherence to and support of the Trust's vision and ethos with particular reference to the MAT Strategic Plan.

8. 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 colleagues take responsibility for improving their performance through appropriate professional development. Professional development will be linked to Trust improvement priorities and to the ongoing professional development needs and priorities of individual.

9. Feedback

Colleagues will receive constructive feedback on their performance throughout the year at monthly one to one meetings, and as soon as practicable after observation has taken place or other information has come to light. Appraisal and feedback will normally be given by the Headteacher/CEO or senior member of staff who set the objectives for the individual. Feedback will highlight particular areas of strength as well as any areas that need attention. Where there are concerns about any aspects of an individual's performance the appraiser will meet the individual formally to:

- give clear feedback to the individual about the nature and seriousness of the concerns;
- give the individual the opportunity to comment and discuss the concerns;
- agree any support (e.g. coaching, mentoring, structured observations), that will be provided to help address those specific concerns;
- make clear how, and by when, the appraiser will review progress - if appropriate the Headteacher/CEO or senior member of staff who set the objectives may revise objectives, and will allow sufficient, reasonable time for improvement. The amount of time is up to the Headteacher/CEO or senior member of staff who set the objectives but should reflect the seriousness of any concerns);
- explain the implications and process if no – or insufficient – improvement is made

When progress is reviewed, if the appraiser is satisfied that the individual has made, or is making, sufficient improvement, the appraisal process will continue as normal, with any remaining issues continuing to be addressed through that process.

For the Headteacher/executive staff, appraisal and feedback will normally be given by the CEO or the delegated appraiser.

For the CEO, appraisal and feedback will normally be given by the delegated Trust Board panel.

Information

The range and level of information collected for appraisal and pay determination purposes will always be proportionate and minimise workload.

10. Transition to Capability

If a colleague demonstrates serious underperformance, and has not responded to support provided within the appraisal process, the colleague will be notified in writing that the appraisal system will no longer apply and that their performance will be managed under the capability procedure, and will be invited to a formal capability meeting. The capability procedures will be conducted as in the separate Capability Policy.

11. Annual Assessment

Each colleague's performance will be formally assessed in respect of each appraisal period. In assessing the performance of the CEO, the Trustees will consult the external adviser.

This assessment is the end point to the annual appraisal process, but performance and development priorities will be reviewed and addressed on a regular basis throughout the year in one to one meetings, and an interim meeting which will normally take place mid-year in the appraisal period.

The colleague will receive as soon as practicable following the end of each appraisal period – and have the opportunity to comment in writing on - a written appraisal report. In this Trust, teachers will receive their written appraisal reports by 31 October (31 December for the Headteacher/executive staff/CEO). The appraisal report will include:

- details of the objectives for the appraisal period in question;
- an assessment of the colleagues' performance of their role and responsibilities against their objectives and the relevant standards;
- an assessment of the colleagues' training and development needs and identification of any action that should be taken to address them;
- a recommendation on pay where that is relevant (i.e. not if the colleague has reached the maximum of their range) and in accordance with the Trust's Pay Policy (NB – pay recommendations will be made by 31 December for Headteachers/executive staff and the CEO, and by 31 October for teachers);

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

12. Confidentiality

The appraisal and performance management process and records will be treated with confidentiality at all times.

13. Training and Support

The Trust's Continuing Professional Development programme will be informed by the training and development needs identified in the appraisal process for staff and the Academy Committees/Trustees will seek to identify appropriate resources in planning and monitoring the budget for any training and support identified as appropriate for reviewees.

Scope

- **This policy applies to all teachers and unattached teachers employed by SECAT and all executive staff, in each case where they are employed for one term or more.**
- In educational establishments with fully delegated budgets, it is for the relevant Trust Board to decide whether or not it is appropriate to apply the discretionary elements of this policy. Where it is decided that it is not appropriate, the Trust Board is reminded of its obligation as an employer to nevertheless satisfy the requirements of the law and, where appropriate, the requirements of specific conditions of service.

Delegation

- The Headteacher will decide who will appraise other teachers.
- The CEO will appraise all Headteachers and decide who will appraise other executive staff.

