

TEACHING STAFF

PERFORMANCE APPRAISAL POLICY

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REVIEW

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Policies may be subject to review and revision at any time, notwithstanding that the next review date has not been reached. Review dates are for guidance only; all policies will remain in force until a review has taken place and been formally approved by the Trust.

1. General Principles

- 1.1 This policy sets out the Trust process for appraising teachers' performance.
- 1.2 This policy sets out the framework for a clear and consistent appraisal of the overall performance of teachers to support their development within the context of the school's development plan and the standards expected of teachers.
- 1.3 Appraisal across the Trust is a supportive and developmental process that ensures all teachers have the skills and support they need to carry out their role effectively. It will ensure that teachers are able to:
- Continue to improve their professional practice
 - Develop as teachers and middle/senior leaders.
- All schools in the Trust encourage a culture in which professional development will:
- Allow all teachers take responsibility for improving their teaching
 - Be linked to school improvement priorities
 - Respond to the ongoing professional development needs and priorities of individual teachers.
- 1.4 The Appraisal Policy will be carried out in accordance with the Trust Staff Equality and Diversity Policy to ensure that the specific needs and circumstances of individuals are taken into account when agreeing objectives, including the need for reasonable adjustments on grounds of disability, or maternity for example.
- 1.5 The appraisal of the Headteachers in each school will be carried out in accordance with the Trust Executive Group appraisal process. (Documentation in Appendix C)
- 1.6 The appraisal of the CEO will be carried out by the Trust Board.
- 1.7 This policy should be read in conjunction with the relevant Trust/School Pay Policies.

2. Who is covered by this policy?

- 2.1 This policy applies to all teaching staff, qualified and unqualified teachers, Headteachers and the CEO, regardless of length of service.
- 2.2 This policy does not apply to NQTs until they have passed their induction year. It also does not apply to support staff who are covered by a separate Trust Appraisal for Support Staff policy. Agency workers, self-employed contractors, supply staff or anyone who is not an employee of the school, whether on a permanent or temporary basis, is also not covered by this policy.

3. Definitions

- 3.1 The sets of standards for teachers referred to throughout will be the “Trust Teacher Standards”. These can be found in Appendix D. They are grouped into career stages ie; M2-M4, M5-M6, UPS1, UPS2, UPS3. There is no threshold between M4 and M5. The standards are more challenging than the previous set reflecting length of experience and preparation for teachers wishing to go over Threshold.
- 3.2 The sets of standards for leaders referred to throughout will be the “Trust Leadership Standards” which can be found in Appendices E and F.

4. The appraisal period

- 4.1 The appraisal period will run for twelve months from 1 September to 31 August.
- 4.2 Teachers and appraisers will complete the relevant sections of the appraisal reports by 31 October.
- 4.3 Appraisal is not confined to directed meetings. Ongoing professional dialogue throughout the year plays an essential part in appraisal and professional growth. In addition to the ongoing dialogue there will be two formal points: a meeting for the review and assessment of the previous cycle and the setting of new objectives; and a mid-year review meeting.
- 4.4 Sufficient time should be set aside for these meetings and both parties should arrive prepared with appropriate evidence, self-evaluation from lesson observations, reviews of progress against development plans and other relevant material. Directed time will be set aside for annual and mid-year review meetings.

5. Appointing appraisers

- 5.1 The Headteacher is responsible for appointing appraisers. Appraisers will usually be the teacher’s line manager.

6. Setting objectives

- 6.1 Objectives for each teacher will be set before, or as soon as practicable after, the start of each appraisal period. The Appraiser will ensure that meetings are given appropriate time for preparation and discussion. Objectives will be
- Specific, Measurable, Achievable, Realistic and Time-bound
 - Appropriate to the teacher’s role and level of experience, i.e. increasingly challenging in line with the Trust Teacher Standards at each level.
- 6.2 The scope of a teacher’s objectives will be informed by
- The relevant Trust Teacher Standards :M2-M4, M5-M6, UPS1-3
 - And/or Trust Leadership Standards : Trust Standards for Middle Leadership, Trust Standards for Senior Leadership, National Standards of Excellence for Headteachers.

These standards are to be used as reference to provide developmental challenge at the appropriate level for the teacher's experience and career aspirations. They may also be used as training materials to articulate skills and expectations, to develop leadership capacity and in ongoing professional dialogue. They are not intended for use as a check-list.

- 6.3 The appraiser and teacher will seek to agree the objectives but, if that is not possible, both the appraiser and the teacher may refer to a member of the School's Leadership Team to help determine the objectives. Objectives may be revised if circumstances change such as a change of responsibility or in response to a drop in performance.
- 6.4 All staff must set three objectives that are aimed at improving overall school and student outcomes as per the Trust, School (SDP) or Department development plan (DDP) through
1. **Development of their teaching practice**
 2. **Contribution to a SDP/DDP priority**
 3. **Personal professional development**
- 6.5 The Trust Leadership Standards can provide a focus for the professional development of current or aspiring middle or senior leaders.

7. Reviewing performance

- 7.1 Performance and professional development are reviewed throughout the year. Objectives may be revised at the mid-year review point or earlier if an issue arises or the teacher's professional circumstances change.
- 7.2 Supporting evidence of progress against objectives comes in many forms as per the Appraisal Guidance note 2 in Appendix A. In terms of lesson observations, the observation summary and feedback across the Trust is developmental and ungraded. The number of lesson observations will not exceed the locally agreed level.

Ongoing professional dialogue

- 7.3 Throughout the year the appraiser should maintain a professional dialogue with the teacher that highlights particular areas of strength of the teacher as well as any areas that may need attention.
- 7.4 Where there are concerns about any aspects of the teacher's performance the appraiser will meet the teacher to:
- Give clear feedback to the teacher about the nature and seriousness of the concerns
 - Give the teacher 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
 - Explain the implications and process if no, or insufficient, improvement is made

When progress is reviewed, if the appraiser is satisfied that the teacher 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.

Where the quality of teaching or performance of a teacher still gives cause for concern this may then be addressed through section 4 of the Trust Capability Policy.

Mid-Year Review

- 7.5 In preparation for the mid-year review meetings, the teacher should ensure they can provide the appraiser with the relevant results analysis of in-year progress data and evaluated development or action plans as relevant.

End of Year Review Statement

- 7.6 In preparation for the annual end of year review statement, the teacher should ensure they provide the appraiser with the relevant results analysis, evaluated development plan and any other necessary contextual documentation. A holistic consideration will be given to all the evidence and sources of guidance. The appraisal report and guidance including suggested sources of evidence can be found in Appendix A.
- 7.7 The appraiser may consult with relevant third parties with direct professional knowledge of the teacher. The completed review statement must be signed and, in doing so, endorsed by the teacher and the appraiser.
- 7.8 Performance relating to each objective must be evaluated and be based upon the agreed success criteria agreed at the beginning of the cycle. Good progress towards the achievement of a challenging objective, even if the success criteria have not been met in full, should be assessed favourably. The moderation process outlined in 10.1 will support this assessment.
- 7.9 Each teacher will have a written appraisal report. The appraisal report will include:
- Details of the teacher's objectives for the appraisal period in question
 - An assessment of the teacher's professional development needs and identification of any action that should be taken to address them
 - An evaluation by the appraiser of the teacher's performance of their role and responsibilities against their objectives and the relevant standards
 - A recommendation by the appraiser or other person nominated by the Headteacher in accordance with the Trust/School Pay Policies on pay (where relevant). All pay recommendations need to be made in accordance with the relevant Trust/School Pay Policy
- 7.10 The review statement must be a clear assessment of the teacher's performance of their role and responsibilities against their objectives and the relevant Trust Teacher and/or Leadership Standards. The assessment of performance and of professional development needs will inform the planning process for the following appraisal period.

8. Review judgements

- 8.1 **Expected, or better than expected, performance means that:**

- **all the objectives and Trust Standards have been met:** The member of staff is performing at a level commensurate with their experience (Trust Teacher Standards), and responsibilities.

Or

- **all Trust Standards are met but objectives have been partly met:** The member of staff's performance has met the expectations commensurate with their experience (Trust Teacher Standards), but has not fully achieved the intended impact of an objective. Recognition should be given to challenging objectives, as per paragraph 6.1, and 7.7 and progress made towards them. Mid-year review should already have highlighted areas of focus relating to a challenging objective if relevant.

Insufficient improvement in performance means that

- **some standards and objective/s are not met:** Considering the experience of the member of staff insufficient progress has been made against one or more of the objectives and/or one or more of the Trust Teacher Standards. This should have been highlighted at the mid-year review stage or at other points during the year and revised objectives set to provide support.

8.2 Not meeting all appraisal objectives does not mean an automatic move to a capability procedure under the Trust Capability Policy, where, for example, the objectives set were appropriately challenging.

8.3 If the teacher's performance fails to meet the Trust Teacher Standards and/or objectives set meaning that his/her performance has not improved since the mid-year review, then his/her performance will be managed under section 4 of the Trust Capability Procedure rather than the Trust Appraisal Policy.

9. Threshold applications

9.1 The objectives of staff aspiring to cross the threshold and move on to the Upper Pay Scale (henceforth UPS) will reflect sustained and substantial contribution to the wider school and development of others linked to Trust Teacher Standards for UPS 1-3 in Appendix D.

9.2 Any qualified teacher who is employed by the Trust as a teacher and has completed one year at M6 on the main pay scale is eligible to apply to progress to the Upper Pay Scale.

9.3 Progression from the main pay scale to UPS will be informed by two consecutive successful appraisal cycles when a teacher is on M5 and M6. The teacher must provide evidence of having met the relevant Trust Standards for M5-M6 and the relevant standards for UPS1.

9.4 UPS assessment is a voluntary process. Teachers **must apply** for assessment in order to cross the threshold to the Upper Pay Scale, by submitting an application form and their last two appraisal reviews. See appendix B for the Threshold application form and guidance. Teachers are also entitled, but not required, to submit additional evidence if needed that should focus on addressing any gaps in their application.

9.5 An application from a teacher that meets the requirements in 9.2-9.4 will be successful where the Headteacher is satisfied that:

- The teacher is highly competent in all elements of the relevant standards;
- The teacher's achievements and contribution to the school are substantial and sustained.

The application will be assessed against the guidelines provided in the Threshold application form and guidance in appendix B and will include a review against the relevant Trust Teacher Standards and national progress measures. UPS teachers' performance is evaluated against the relevant Trust Teacher Standards pertaining to the quality of the teaching and learning in and beyond their classrooms, not their TLR role if they hold one.

- 9.6 The Headteacher is permitted to discuss all or part of an application with other members of the Trust/School leadership teams or the relevant line manager/s.
- 9.8 The decisions will be recommended to the Trust HR Committee which endorses final decisions with regards to salary progression. Decisions will be made by the end of the autumn term and pay backdated to September of the year of application.
- 9.9 If unsuccessful, feedback will be provided by the Headteacher, orally within 5 days of the decision and confirmed in writing within 10 days of the decision being made which will include a rationale of the reasons why the applicant has not been progressed through this application process.

Post-threshold teacher progression up the Upper Pay Scale from 2018

- 9.10 Progression through the Upper Pay Scale (from UPS1-2 or UPS2-3) is informed by two consecutive, successful appraisal cycles since either UPS1 or UPS2 was first awarded. Post-threshold teachers need to show that their contributions have been substantial and sustained throughout their last two appraisal cycles and since their Threshold application. They must be highly competent in the Trust UPS standards for UPS2 or UPS3 as appropriate, for the relevant pay recommendation to be supported and submitted to the Headteacher and Trust HR committee.

10. Moderation of judgements

- 10.1 Line managers at all levels are responsible for checking and moderating the appraisal process and objectives set within their areas.
- 10.2 Appraisal documents will then be checked and moderated by the Headteacher.
- 10.3 This is followed by further moderation and final approval by the Trust HR Committee.

11. Appeals

- 11.1 If a member of staff is unhappy with any decision made pursuant to this policy, they should attempt to resolve the matter informally by discussing the matter with their Line Manager in the first instance, and/or the CEO or Headteacher
- 11.2 If the member of staff remains unhappy with the decision, having attempted to resolve matters informally, the formal procedure should be used as set out in the Trust Grievance Policy.

12. APPENDICES

- A. Appraisal pack: Appraisal Report and guidance
- B. Threshold application form and guidance
- C. Appraisal documentation for Headteachers and Senior Leaders

Supporting documentation

- D. Trust Teacher Standards M2-M4, M5-M6, UPS1-3
- E. Trust Standards for Middle and Senior Leadership
- F. National Standards of Excellence for Headteachers