



Engage MAT

Teacher Appraisal Policy

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Teacher Appraisal Policy

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Policy statement

1 Equal opportunities and scope

- 1.1 The Trust is committed to ensuring consistency of treatment and fairness in all aspects of employment of staff.
- 1.2 The Trust expects employees to adhere to this policy. Headteachers and Heads of School must ensure that all reasonable adjustments or supportive measures are considered to allow, in relation to this policy, equality of access and opportunity regardless of age, gender, ethnicity, sexual orientation, disability, faith or religion, gender identity, pregnancy or marital status.

2 Application and review of the policy

- 2.1 The policy applies to teachers, including unqualified teachers, Headteachers/Heads of School and the CEO employed by the Trust.
- 2.2 The policy does not apply to those on contracts of less than one term, those who are subject to action under the Formal Capability Procedure or staff undergoing induction.
- 2.3 The Trust will review this policy annually.

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3 Purpose

- 3.1 This policy sets out the framework for a clear and consistent assessment of overall performance of individuals and for supporting professional development, all within the context of Trust plans for improving educational provision and the recognised national professional standards. It also sets out the initial arrangements that will be applied when teachers fall below the levels of competence that are expected of them before progressing to the formal capability procedure. This policy does not form part of any employee's contract of employment and it may be amended at any time following consultation.

4 The appraisal period

- 4.1 The appraisal period will run for 12 months *from 1 November to 31 October for teachers and 1 September to 31 August for Headteachers and Heads of Schools.*
- 4.2 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 this policy. The length of the period will be determined by the duration of their contract.
- 4.3 There is flexibility to have a longer or shorter appraisal period when teachers begin or end employment with the Trust during the appraisal period.
- 4.4 Any financial uplift that results from the appraisal outcome will become payable from 1 September in the same year.
- 4.5 If a teacher is absent owing to illness or maternity part-way through a cycle, or is employed on a part-time basis, their objectives will be adjusted so that they are proportionate.
- 4.6 If a teacher transfers to a new post within the same academy part-way through a cycle, the Headteacher/Head of School or, in the case where the teacher is the Headteacher/Head of School, the Trust shall determine whether the cycle shall begin again and whether to change the appraiser.

5 Appointment of appraisers

5.1 Appraisers for the CEO

- 5.1.1 The Trust will be the appraiser for the CEO. To discharge this responsibility, the Trust will appoint two or three Trustees to carry out this function. The Trust may appoint a suitably skilled and experienced external adviser to support the appraisal process.

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5.2 Appraisers for a Headteacher/Head of School

- 5.2.1 The CEO, together with others as determined by the Trust (eg local governor (s) appointed by the Local Governing Body and Trustee (s) appointed by the Trust) will be the appraiser for an individual Headteacher/Head of School.

5.3 Appraisers for teachers

- 5.3.1 The Headteacher/Head of School of the individual academy will decide who will appraise other teachers in that academy. In order to ensure that the outcome of appraisals are fair, equitable and consistently applied in cases where the Headteacher/Head of School is not the appraiser, the Headteacher/Head of School will moderate a sample of objective statements to check that the plans recorded are (a) consistent between those who have similar experience and similar levels of responsibility (b) comply with the appraisal policy, regulations and requirements of equality legislation.
- 5.3.2 Where a teacher is of the opinion that the person to whom the Headteacher/Head of School has delegated the appraiser's duties is unsuitable for professional reasons, they may submit a written request to the Headteacher/Head of School for that appraiser to be replaced, stating those reasons.
- 5.3.3 Where it becomes apparent that the appraiser will be absent for the majority of the cycle or is unsuitable for professional reasons, the Headteacher/Head of School may perform the duties themselves or delegate them in their entirety to another line manager. Where that other line manager is not the appraisee's normal line manager, the appointed appraiser will have an equivalent or higher status in the staffing structure than the teacher's line manager.
- 5.3.4 An appraisal cycle will not begin again in the event of the appraiser being changed.
- 5.3.5 All line managers to whom the Headteacher/Head of School has delegated the role of appraiser will receive appropriate preparation for that role.

6 Objective setting

- 6.1 Objectives will be set before, or as soon as practicable after, the start of each appraisal period.
- 6.2 Objectives will be specific, measurable, achievable, realistic and time-bound and will be appropriate to the individual's role and level of experience. The appraiser and individual 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.
- 6.3 The objectives set will, if achieved, contribute to the Trust's and/or Local Governing Body's plans for improving educational provision and performance and improving the education of pupils within the Trust or individual academy as

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appropriate. This will be ensured by aligning appraisees' objectives to the Trust's/School's priorities, improvement and development plans, and self-evaluation documents. The objectives set should also reflect appraisees' professional aspirations.

- 6.4 Before, or as soon as practicable after, the start of each appraisal period, each individual will be informed of the standards against which their performance in the appraisal period will be assessed.
- 6.5 The Trust has determined that in most circumstances all individuals, excluding the CEO, will have no more than three objectives (or broadly equivalent if objectives are short-term in nature).
- 6.6 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 cycle.
- 6.7 Where performance is deemed less than satisfactory, the focus of the appraisee's objectives is likely to be modified to address areas considered weaker. Unless the objectives have been modified after a mid-cycle review to reflect changed circumstances, at the end of the cycle, assessment of performance against an objective will be on the basis of the performance criteria set at the beginning of the cycle.

7 Annual assessment including pay decisions

- 7.1 Appraisal will be an assessment of overall performance. An appraisal report will include:
- details of the objectives for the appraisal period in question;
 - an assessment of the individual's performance of their role and responsibilities against their objectives and the relevant standards;
 - an assessment of the individual's professional development needs and identification of any action that should be taken to address them;
 - a recommendation on pay where that is relevant (with pay recommendations being made by the end of the autumn term)
- 7.2 The assessment of performance and of professional development needs will inform the planning process for the following appraisal period.
- 7.3 The 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, both formally at a mid-year review and informally.
- 7.4 The appraisee should, as soon as practicable, following the end of each appraisal period, have opportunity to comment on the written appraisal report.

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8 Reviewing progress and performance

- 8.1 Appraisers will use a variety of means to judge an appraisee's performance. The Trust recognises that this may vary between academies taking into account the size and phase of the academy involved. Having said that, observation of teaching is an important part of the appraisal process and the Trust has therefore determined that observations should be carried out within a defined protocol as follows:-
- 8.1.1 Observation of classroom practice and other responsibilities is important, both as a way of assessing teacher performance in order to identify any particular strengths/areas for development and of gaining useful information which can inform academy improvement more generally.
- 8.1.2 Observations will be carried out in a supportive way with professionalism, integrity and courtesy. The quality of lessons will be evaluated objectively and fairly and will take account of particular circumstances which may affect performance on the day.
- 8.1.3 Classroom observation will be carried out by suitably qualified and trained professionals.
- 8.1.4 A minimum of one observation per year, specifically chosen for the purposes of observing the quality of teaching and learning for the appraisal process, will be led by the appraiser.
- 8.1.5 For the purposes of appraisal, teacher 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 teacher's circumstances and the overall needs of the individual academy.
- 8.1.6 The majority of observations in the Trust's academies will be carried out by members of the leadership team as the members of staff with the most in-depth training in monitoring teaching and learning. In addition, Headteachers/Heads of School may choose to observe teachers at any time.
- 8.1.7 Where appraisers are not members of the leadership team, they will be adequately trained in the observation and feedback process and the accuracy of their judgements verified by senior colleagues before being permitted to observe lessons by themselves. For the purposes of such training and verification, some lessons will be observed by two colleagues.
- 8.1.8 At least two working days written notice of the date and time of the observation will be given. Verbal feedback will be provided by the end of the next school day and written feedback within two working days unless circumstances make this unreasonable.
- 8.1.9 For the purpose of professional development, feedback about lesson observations should be developmental, not simply a judgement using Ofsted grades.

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- 8.1.10 Each academy may use the findings of each observation, including appraisal observations, for other management requirements (for example subject area reviews), thereby seeking to minimise the total number of occasions on which teachers are observed.
- 8.1.11 Teachers whose posts have responsibilities outside the classroom should also expect to have their performance of those responsibilities observed and assessed.
- 8.1.12 The number and duration of appraisal observations will be in accordance with each individual academy's observation protocol as agreed by their Local Governing Body.
- 8.1.13 Unplanned observations including learning walks, spot checks on the classroom environment by the Headteacher/Head of School other leaders, and informal visits, will not be used for appraisal purposes.
- 8.1.14 The Headteacher/Head of School, or other leaders with responsibility for learning and teaching standards, may "drop in" or undertake other observations to evaluate the standards of teaching and learning and to ensure that high standards of professional performance are established and maintained across each academy. The length and frequency of "drop in" or other observations and the notice to be given, will vary given specific circumstances but will be in accordance with each academy's observation protocol.

8.2 Individual academy observation protocols

- 8.2.1 The Trust consists of a diverse range of academies as characterised by: phase/age range; size of student and staff roles; the overall position of each academy's current effectiveness etc. As such, the details of each academy's schedule of observation, the purposes of each round and the details of which personnel observe lessons must be a matter for each academy to agree on a local basis in response to their individual needs and contexts.
- 8.2.2 Each observation protocol must adhere to the principles for successful and reasonable observation laid out in this policy. The observation protocol makes the provisions in this policy clear and practicable for each academy in turn.
- 8.2.3 The observation protocol should be annually reviewed by the Local Governing Body prior to the start of the next appraisal cycle. Where appropriate, the observation protocol should also be consulted upon with local trade union representatives.

9 Professional development and support

- 9.1 Appraisal is a supportive process which will be used to inform continuing professional development. Each individual academy will encourage a culture in which all teachers take responsibility for improving their teaching through

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appropriate professional development, for example peer observations. Professional development will be linked to academy improvement priorities and the professional needs of individual teachers.

- 9.2 Each academy's CPD programme will be informed by the training and development needs identified as part of the appraisal process. Each Headteacher/Head of School will ensure in budget planning that, as far as possible, resources are made available for the appropriate training and support agreed for appraisees.
- 9.3 An account of the training and development needs of teachers including the instances where it did not prove possible to provide any agreed CPD, will form part of the Headteacher/Head of School annual report to the Local Governing Body and/or Trust (as required) about the operation of the Teacher Appraisal Policy.
- 9.4 With regard to the provision of CPD in the case of competing demands on the available budget, a decision on relative priority will be taken with regard to the extent to which:
- (a) the training and support will help the academy to achieve its priorities; and
 - (b) the CPD identified is essential for an appraisee to meet their objectives.

10 Teachers experiencing difficulties in performance

- 10.1 Teachers experiencing difficulties will receive support and guidance with the primary aim of improving their performance so 'the problem' is resolved.
- 10.2 If it is apparent that a teacher's personal circumstances are leading to difficulties at work, support will be offered as soon as possible and without waiting for the formal annual assessment.
- 10.3 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, they could lead to capability procedures, the appraiser (or the Headteacher/Head of School or a member of the leadership team) will:-
- meet the teacher to give clear oral and written feedback to the teacher about the nature and seriousness of the concerns, providing the teacher the opportunity to comment on and discuss these.
 - following the feedback session, invite the teacher to a meeting where the concerns are outlined in more detail. At that meeting, which will be held following at least five days' notice, the teacher's targets for improvement will be discussed alongside a programme of support. Prior to the meeting, the teacher will be advised that they have the right to be accompanied by a representative of an independent trade union or work place colleague, and at any future meetings where capability will be discussed;
 - in consultation with the teacher at the above meeting, establish an action plan with support (for example coaching, training, in-class support, mentoring, structured observations, visits to other classes or schools or discussions with

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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 including the strong likelihood that there will be no pay progression.

10.4 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, with appropriate support as determined by 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.

10.5 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 or Headteacher/Head of School. Following this meeting the appraisal process will continue as normal.

10.6 If no, or insufficient, improvement has been made over this period, the teacher will be invited to a First Formal Capability Meeting under the Formal Capability Procedure to determine whether formal capability proceedings need to be commenced or the appraisal process remains in place. The teacher may be accompanied by a trade union representative or work colleague and will have at least five working days' notice of the meeting.

11 Appeals

11.1 Appraisees have a right of appeal against any of the entries in their planning and assessment report. If an appraisee wishes to appeal on the basis of more than one entry this would constitute one appeal hearing.

11.2 The Local Governing Body will set up a Teacher Appraisal Appeals Committee which would hear appraisal appeals. Members of the Committee should not have participated in the appraisal process in the current round. The Chair of the Committee must inform the employee of the outcome of the appeal and should also notify the Local Governing Body.

11.3 Details of the teacher appraisal appeals process are set out in Annex 1.

12 Confidentiality

12.1 The appraisal process and the planning and assessment report generated under it, in particular, will be treated with strict confidentiality at all times. Only the appraiser's line manager or, where they have more than one, each of their line managers, will be provided with access to the appraiser's plan recorded in their statement, upon request and where this is necessary to enable the line manager to discharge their line management responsibilities.

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- 12.2 Confidentiality does not override the need for a Headteacher/Head of School (and in relation to the appraisal of a Principal, appointed governors) to quality assure the process and effectiveness of the appraisal system. The professional development annex of the assessment report may be made available to the Continuous Professional Development (CPD) Co-ordinator.
- 12.3 Where a teacher or any Headteacher/Head of School moves from the academy/Trust during or at the end of the appraisal cycle, they can request that their appraisal report is sent to their new employer to enable continuity in the appraisal process and any pay eligibility progression.

13 Retention of appraisal reports

- 13.1 Appraisal reports should be retained in a safe and secure manner for a period of 6 years and should then be destroyed via confidential means.

14 Monitoring and evaluation

- 14.1 The respective Local Governing Body and the Trust will monitor the operation and outcomes of appraisal arrangements.
- 14.2 A Headteacher/Head of School will provide their Local Governing Body with a written report on the operation of the school's appraisal policy annually. The report will not contain any information which would intentionally enable any individual to be identified. The report will include:
- the operation of the appraisal policy;
 - the effectiveness of the Trust's appraisal procedures;
 - teachers' training and development needs
 - impact of appraisal on improvement
 - measures to support or address any poor performance

This will include, in a confidential section, appropriate details of:

- any appeals or representations on an individual or collective basis on the grounds of alleged discrimination under any of the categories above in relation to performance management;
- cases, including the circumstances, where teachers have not made satisfactory progress towards objectives;
- any instances where the training and development set out in the training and development annex of a planning and review statement has not been provided.

The report will intend not to enable any individual to be identified.

- 14.3 The Local Governing Body will report to the Trust their view on the effectiveness of the Teacher Appraisal Policy together with any recommendation or request for amendment of the policy.

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15 Review of the policy

- 15.1 The Trust will review the appraisal policy every school year.
- 15.2 The Trust will take account any reports or recommendations for change received and will give consideration to other contextual information they deem to be relevant (e.g. changes to regulations governing teacher appraisal in maintained schools) in its review of the appraisal policy. The policy will be revised as required to introduce any changes in regulation affecting academy settings to ensure it remains compliant.
- 15.3 The Trust will seek to agree any revisions to the policy with the recognised teacher trade unions having regard to the results of the consultation with all teachers.
- 15.4 To ensure teachers are fully conversant with the appraisal arrangements, all new teachers who join the Trust will be briefed on them as part of their induction to the school.

16 Access to documentation

- 16.1 Copies of relevant Trust or individual academy improvement and development plans and associated documents will be made available.

17. Data Protection

When conducting an employee's appraisal, the Trust processes personal data collected in accordance with its data protection policy. Data collected by the Trust as part of the operation of the appraisal process is held securely and accessed by, and disclosed to, individuals only for the purposes of managing their appraisal. Inappropriate access or disclosure of employee data constitutes a data breach and should be reported in accordance with the Trust's data protection policy immediately. It may also constitute a disciplinary offence, which will be dealt with under the Trust's disciplinary procedure.

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ANNEX 1 Part A – Pay and teacher appraisal appeals

- i) A member of staff may make an appeal against any determination or proposed determination in relation to their pay or performance management.
- ii) The possible grounds for appeal are that the person or committee by whom the decision was made:
 - failed to take proper account of any relevant evidence;
 - took account of irrelevant or inaccurate evidence;
 - failed to apply the Trust's Teacher Appraisal Policy;
 - was biased;
 - otherwise unlawfully discriminated against the teacher.
- iii) Any appeal against non-spinal column point progression will not be dealt with by this procedure. Such appeals will be dealt with by the Trust's Pay Policy Appeal Procedure.

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ANNEX 1 Part B1 – Procedure for appeals brought by the Headteacher/Head of School

Procedure for a hearing of the Teacher Appraisal Appeals Committee

- i) The Appeals Committee will elect a Chair who should then introduce those present and explain the purpose of the hearing.
- ii) The Headteacher/Head of School or their representative should present evidence on the case, referring to any relevant documentation.
- iii) The designated member of the Headteacher/Head of School's Appraisal Committee should be given the opportunity to ask questions.
- iv) The members of the Appeals Committee and their adviser(s) should be given the opportunity to ask questions.
- v) The designated member of the Headteacher/Head of School's Appraisal Committee should present their case referring to any relevant documentation.
- vi) The Headteacher/Head of School or their representative should be given the opportunity to ask questions.
- vii) The members of the Appeals Committee and their adviser(s) should be given the opportunity to ask questions.
- viii) The Headteacher/Head of School or their representative should make a closing statement.
- ix) The designated member of the Headteacher/Head of School's Appraisal Committee should make a closing statement.
- x) The Chair of the Appeals Committee should call an adjournment. All parties will be required to withdraw except members of the Appeals Committee and their adviser(s) who consider the evidence and discuss the case before the Appeals Committee reaches a decision.

Note

The Chair of the Appeals Committee may vary the order of procedure in exceptional circumstances. At any stage in the proceedings, a request by either side for adjournment may be granted at the discretion by the Chair of the Appeals Committee.

- xi) The Appeals Committee will deliberate in private and will communicate their decision to all parties within 48 hours.
- xii) The decision of the Appeals Committee will be final. There is no recourse to the staff grievance procedure on the same issue(s).

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ANNEX 1 Part B2 – Procedure for appeals brought by a teacher

Procedure for a hearing of the Teacher Appraisal Appeals Committee

- i) The Appeals Committee will elect a Chair who should then introduce those present and explain the purpose of the hearing.
- ii) The Appellant or their representative should present evidence on the case, referring to any relevant documentation.
- iii) The Headteacher/Head of School or designated member of the appropriate Committee and their representative should be given the opportunity to ask questions.
- iv) The members of the Appeals Committee and their adviser(s) should be given the opportunity to ask questions.
- v) The Headteacher/Head of School or designated member of the appropriate Committee and their representative should present their case referring to any relevant documentation.
- vi) The Appellant or their representative should be given the opportunity to ask questions.
- vii) The members of the Appeals Committee and their adviser(s) should be given the opportunity to ask questions.
- viii) The Appellant or their representative should make a closing statement.
- ix) The Headteacher/Head of School or their representative should make a closing statement.
- x) The Chair of the Appeals Committee should call an adjournment. All parties will be required to withdraw except members of the Appeals Committee and their adviser(s) who consider the evidence and discuss the case before the Appeals Committee reached a decision.

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