



Teacher **Appraisal Policy**

Compiled by:

CEAT

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1. Purpose

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

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

Central England Academy Trust is committed to ensuring consistency of treatment and fairness in appraising teacher performance and will abide by all relevant equality legislation.

2. Application

This Policy applies to the CEO, headteachers and to all teachers employed by Central England Academy Trust, except:

- teachers on contracts of less than one term
- those undergoing statutory induction (*ECTs*) or
- those who are the subject of capability procedures.

It should be read in conjunction with the school's pay policy, which provides details of the arrangements relating to teacher's pay, the School Teachers' Pay and Conditions Document and the Education (School Teachers Appraisal (England)) Regulations 2012.

This policy does not apply to non-teaching staff in our schools. A separate appraisal policy and procedures are in place.

3. The Appraisal Period

The appraisal period will run for twelve months from 1st September to 31st August each year.

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 and an individual teacher's objectives should take account of the length of contract.

All teachers will receive a written appraisal report by 31 December, unless the practicalities of the performance management process make this difficult to achieve, in which case it will be issued as soon as possible after this date.

Where a teacher begins or ends employment with the school during the appraisal period, a longer or shorter appraisal period may be applied, e.g., a two-term appraisal period for teachers who start with the school on 1 January.

4. Appointment of Appraisers

4.1. CEO and Headteachers:

The CEO will be appraised by the board of trustees, supported by a suitably skilled and / or experienced external adviser who has been appointed for that purpose. Headteachers will be appraised by the governing

body and the CEO, supported by a suitably skilled and / or experienced external adviser who has been appointed for that purpose.

The task of appraising the CEO, including the setting of objectives and identifying the standards against which performance will be assessed, will be delegated to a sub-group consisting of normally three members of the board of trustees.

The task of appraising the headteachers, including the setting of objectives and identifying the standards against which performance will be assessed, will be delegated to a sub-group consisting of normally three members of the governing body of their schools.

4.2. Teachers:

The headteacher will decide who will appraise other teachers in their school. All appraisers will have qualified teacher status and relevant experience. If the headteacher appoints an appraiser who is not the teacher's line manager, the appraiser to whom they delegate those duties will have an appropriate position in the staffing structure, together with the necessary background knowledge, skills, and training to undertake the role.

Where a teacher has more than one line manager, the headteacher will determine which line manager will be best placed to manage and appraise the teacher's performance.

Where it becomes apparent that the appraiser will be absent for most of the cycle or is unsuitable, the headteacher may perform the duties or delegate the appraiser's role 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.

An appraisal period will not begin again in the event of the appraiser being changed.

All appraisers will be appropriately trained in appraisal procedures.

5. Quality Assurance

5.1. CEO and Headteacher Appraisal

The board of trustees (for the CEO) or the governing body (for headteachers) will nominate up to three trustees / governors (including the Chair), who will be involved in the CEO / headteacher's appraisal or any appeal relating to it, to ensure that the objectives are consistent with the school's improvement plans, contribute to improving the education of pupils and comply with the school's appraisal policy and the Regulations.

5.2. Teachers' appraisal

The school operates a system of moderation to ensure that all appraisers are working to the same standards. Objectives will be moderated across each school to ensure that they are consistent between teachers with similar experience and levels of responsibility and meet the requirements stated in 7 (Setting Objectives).

Where the headteacher has delegated the role of appraiser, they will moderate a sample of objectives to check that they:

- contribute to improving the education of pupils
- are consistent with the school's improvement plans
- comply with the school's appraisal policy, the regulations, and the requirements of equality legislation
- are written in such a way that measuring success can be done objectively

Central England Academy Trust will review the quality assurance processes when this policy is reviewed.

6. Pay Progression

Pay progression after an appraisal review will be automatic for teachers on the main pay scale, for those on UPR and for those on the leadership scale. Reviews should be deemed to be successful unless significant concerns about a teacher's performance have been raised in writing with the teacher during the annual appraisal cycle and have not been sufficiently addressed through support provided by the school by the conclusion of that process.

Teachers working towards the Upper Pay Range (UPR) will be assessed against the UPR Standards. Progression to UPR must be applied for and teachers will need to evidence how they have been successfully meeting these over the past year (*see appendix 1 for the UPR application form and UPR standards*).

7. Setting Objectives

The CEO's objectives will be set by the board of trustees after consultation with the external adviser.

Each headteacher's objectives will be set by the CEO and their governing body after consultation with the external adviser.

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 clearly defined and will be:

- Specific, Measurable, Achievable, Realistic and Time-bound
- appropriate to the teacher's role and level of experience.
- fair and equitable in relation to teachers with similar roles/responsibilities and experience
- consistent with the school's strategy for achieving a work/life balance for all staff
- set against the teachers' standards and reflect the appraisee's professional aspirations
- aligned with the school's priorities and plans.

Appraisers and appraisees will be clear what success will look like and how progress will be measured.

The objectives set for each teacher will, if achieved, contribute to the school's plans for improving the school's educational provision and performance and improving the education of pupils at that school. This will be ensured by quality assuring all objectives against the school improvement plan as outlined above.

At Central England Academy Trust, other than in exceptional circumstances, all teachers, including the CEO and headteachers, will have no more than three objectives. Numerical targets should not be set if it is beyond the teacher's control to achieve them.

Appraisees may append their comments alongside their objectives.

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, following consultation, if circumstances change.

Before, or as soon as practicable after, the start of each appraisal period, each teacher will be informed of the standards against which their performance in that appraisal period will be assessed.

With the exception of those who are qualified teachers holding and maintaining Qualified Teacher Learning and Skills (QTLS) status, all teachers must be assessed against the set of standards contained in the document called "Teachers' Standards" published in July 2011 (introduction updated June 2013) For

qualified teachers holding QTLS status, the headteacher will decide whether they should be assessed against the Teachers' Standards or assessed against other sets of standards published by the Secretary of State that are most appropriate to them.

The standards and objectives against which performance will be assessed will be detailed in the appraisal planning statement.

8. Reviewing Performance

The headteacher in each school has a duty to evaluate the standards of teaching and learning and to ensure that proper standards of professional performance are established and maintained. Central England Academy Trust is committed to ensuring that any classroom observation is developmental and supportive and that those involved in the process will:

- carry out the role with professionalism, integrity, and courtesy
- evaluate objectively
- report accurately and fairly
- respect the confidentiality of the information gained.

8.1. Observation

This school believes that observation of classroom practice and other responsibilities is important both as a way of assessing a teacher's performance against the teaching standards and to assess the teacher's progress in relation to agreed objectives. It is also used to identify any strengths and areas for development they may have, and of gaining useful information which can inform school improvement more generally and enabling teachers to learn from each other and collaborate. All observation will be carried out in a supportive fashion.

For the purpose of appraisal, teachers' performance will be formally observed on a maximum of 3 occasions and will be agreed by the appraiser with the appraisee according to the individual circumstances of the teacher and the overall needs of the school. Formal observations will not exceed a total of 3 hours across the year. If there are exceptional circumstances where concerns have been raised about a teacher's performance, or where a teacher requests extra observation, additional observations can take place.

Classroom observation will be carried out by those with QTS/QTLS.

Information gathered during the observation can be used, as appropriate, for other purposes, such as subject area reviews, informing school self-evaluation and school improvement strategies, thereby seeking to minimise the total number of observations of a teacher.

No written notes in addition to the written feedback will be kept.

Each school has their own lesson observation protocol that is attached to their policy and shared with staff as an appendix.

Teachers (including the CEO and headteachers) who have responsibilities outside the classroom should also expect to have their performance of those responsibilities observed and assessed.

8.2. Other forms of monitoring

In addition to observation, other forms of monitoring and gathering information about school provision and performance may also be used, such as: learning walks, work sampling, analysing pupil progress data, parent and pupil voice.

8.3. Feedback

Teachers will receive supportive and constructive feedback on their performance throughout the year and as soon as practicable after observation has taken place or other evidence has become known. Feedback will be provided as soon as possible and within a maximum of 5 working days. Feedback will highlight areas of strength as well as any areas requiring development.

8.4. Evidence

The range and level of evidence collected for appraisal purposes will always be proportionate and minimise workload. Evidence used in the appraisal process must relate directly to objectives and should be agreed in advance and be readily available from day-to-day practice.

8.5. Teachers experiencing difficulties

Where, during the appraisal period, there are concerns about any aspects of the teacher's performance, support and guidance will be provided with the aim that the teacher's performance improves and the need to move into formal capability procedures is avoided. Where there are concerns about a teacher's performance (through the appraisal process or via other sources of information), the appraiser will arrange a meeting with 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
- set clear objectives for required improvement
- agree any appropriate support (e.g. coaching, mentoring, in-class support, structured observations, visits to other classes or schools, discussions with advisory teachers) that will be provided to help address those specific concerns
- make clear how, and by when, the appraiser will review progress
- review objectives and allow sufficient time for improvement (the amount of time is up to the school but should reflect the seriousness of the concerns)
- explain the implications and process if no, or insufficient, improvement is made, e.g., impact on pay progression and potential move to formal capability.

The above will be confirmed in writing to the teacher (with a copy to the headteacher) within five working days of the meeting. Where it is deemed helpful, the teacher may be accompanied by their trade union representative at this meeting and subsequent reviews.

The teacher's progress will continue to be monitored as part of the appraisal process and regular feedback on progress will be given. Arrangements will be made to modify the support programme, if appropriate.

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.

If, however, the appraiser is not satisfied with the progress, the teacher will be informed that a recommendation of transition to capability will be made to the headteacher (detailed 9 below).

9. Annual Assessment

Unless moving into the capability procedure before the end of the appraisal period, each teacher's performance will be formally assessed in respect of each appraisal period.

Assessment against the Teachers' Standards will start from the premise that all teachers are meeting the Teachers' Standards and will be assessed as meeting these unless clear, compelling written evidence to the contrary is provided.

Each teacher's performance will be formally assessed in respect of each appraisal period. In assessing the performance of the CEO / headteachers, the board of trustees / governing body must 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 interim meetings which will take place each term.

The teacher will receive as soon as practicable following the end of each appraisal period – and can comment in writing on – a written appraisal report. In our Trust, teachers will receive written appraisal reports by 31 December.

The 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 professional development needs and identification of any action that should be taken to address them
- space for the teacher's own comments

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

10. Transition to Capability

If, during the appraisal period and following review of progress, no or insufficient improvement has been made, the appraiser will inform the teacher of this. Written confirmation will be provided within 5 working days, covering the concerns, action taken, review outcomes and recommendations. Where the appraiser is not the headteacher, a copy of the written confirmation will be sent to the headteacher (or chair of trustees if the CEO / chair of governors if the headteacher) for them to determine whether the capability procedure will commence. The headteacher (or chair of governors) will inform the teacher of the decision, in writing, within five working days of receipt of the recommendation.

Where the decision is to move to the formal capability procedure, the teacher will be notified in writing that the appraisal system will no longer apply, that their performance will be managed under the capability procedure and the teacher will be invited to a formal capability meeting.

The capability procedures will be conducted as outlined in the Capability Policy.

11. Support and Professional Development

Appraisal is a supportive process which will be used to inform continuing professional development (CPD). The school 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 school improvement priorities and to the ongoing professional development needs and priorities of individual teachers.

The school's CPD programme will be informed by the training and development needs identified in the appraisees' reports. The governing body of each school will ensure in the budget planning that, as far as possible, appropriate resources are made available in the school budget for any professional development and support agreed for appraisees.

In the case of competing CPD demands on the school budget, a decision on relative priority will be taken about the extent to which: (a) the CPD identified is essential for an appraisee to meet their objectives; and

(b) the training and support will help the school to achieve its priorities. The school's priorities will have precedence. Teachers should not be held accountable for failing to make good progress towards meeting their performance criteria where appropriate support has not been provided.

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 headteacher's annual report to their governing body about the operation of the appraisal arrangements in the school.

12. Retention of Appraisal Records

Each school's governing body and headteacher will ensure that all written appraisal records are retained in a secure place for 6 years and then destroyed.

13. Monitoring and Evaluation

Central England Academy Trust will monitor the operation and outcomes of appraisal arrangements to ensure consistency of application and adherence to equalities legislation, to ensure that the policy operates in accordance with the duties to promote equality, to eliminate discrimination and to promote good relations between staff with protected characteristics as required under the Equality Act 2010.

The Trust will ensure that individuals' personal data is handled in accordance with General Data Protection Regulations (GDPR).

The headteacher of each school will provide their governing body with an annual written report on the operation of the arrangements to include:

- the operation of the appraisal policy
- the effectiveness of the school's appraisal procedures
- teachers' training and development needs
- monitoring data which may represent any possible grounds for unlawful discrimination such as the protected characteristics, part time staff and trade union membership
- on whether there have been any appeals or representations on an individual or collective basis on the grounds of alleged discrimination.

The report will not contain any information which would enable any individual to be identified.

14. Review of Policy

Central England Academy Trust will review the appraisal policy every two years at its summer term meeting and will take account of the headteacher's report from each school in the review.

The policy will be revised as required to introduce any changes in regulation and statutory guidance to ensure that it is always up to date.

Central England Academy Trust will seek to agree any revisions to the policy with the recognised trade unions having regard to the results of the consultation with all teachers.

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 induction to the school.

15. Access to Documentation

All teachers will be provided with access to the school improvement plan and self-evaluation document.

16. Confidentiality

Confidentiality underpins the appraisal process. However, there may be a need to share some details with trustees and / or governors and other key members of staff for a variety of reasons, including:

- planning continuing professional development
- quality assurance
- making efficient use of aggregated lesson observation information for a variety of school leadership purposes.

In addition, Ofsted may investigate the effectiveness of the appraisal policy and process. In so doing, however, the confidentiality of the process for individuals will not be compromised.

In so far as possible, information will be anonymised.

17. Absence

If a member of staff is on long-term absence (e.g., long term sickness, maternity, parental, unpaid leave, secondment etc), it may be appropriate for the appraiser to review and re-focus objectives with the appraisee. Any sickness absence will be managed in accordance with the sickness absence management procedure.

Appendix 1 - Upper Pay Range

Eligibility Criteria (*for progression to UPR*)

The teacher will be required to meet the criteria set out in paragraph 15.2 of the School Teachers Pay and Conditions Document (STPCD), namely that:

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

At Central England Academy Trust, this means:

“highly competent”: the teacher's performance is assessed as having excellent depth and breadth of knowledge, skill and understanding of the Teachers' Standards in the particular role they are fulfilling and the context in which they are working.

“substantial”: the teacher's achievements and contribution to the school are significant, not just in raising standards of teaching and learning in their own classroom, or with their own groups of children, but also in making a significant wider contribution to school improvement, which impacts on pupil progress and the effectiveness of staff and colleagues.

“sustained”: the teacher must have had two consecutive successful appraisal reports in their school and have met their objectives during this period. They will have been expected to have shown that their teaching expertise has grown over the relevant period and consistently meets and exceeds the standards required.

See the Upper Pay Range Progression Criteria at the end of this appendix.

Upper Pay Range Application Form

Teacher's Details:

Name: _____ Post: _____

School: _____

Appraisal Details:

Teachers' Standards:

I have met or exceeded all of the Teachers' Standards: **Met / Not met**

Appraisal objectives:

I have met all of my appraisal objectives for the past two years: **Met / Not met**

Years covered by consecutive successful appraisal review statements:

Statement / Evidence:

In the section below, summarise any evidence that isn't included in your recent appraisal reports that demonstrates you have met the success criteria for moving onto the UPR as outlined above.

Please provide evidence as to why, in your judgement, your achievements and contribution to your school have been substantial and sustained, with clear reference to each of the UPR standards overleaf (*no more than 2 sides of A4*).

Declaration:

I confirm that at the date of this request for assessment to be paid on the Upper Pay Range I meet the eligibility criteria and I submit two consecutive successful appraisal review statements.

Teacher's signature: _____ Date: _____

Upper Pay Range Progression Criteria

Professional Attributes

1 – Contribute significantly, where appropriate, to implementing workplace policies and practice and to promoting collective responsibility for their implementation.

Professional Knowledge and Understanding

2 – Have an extensive knowledge and understanding of how to use and adapt a range of teaching, learning and behaviour management strategies, including how to personalise learning to provide opportunities for all learners to achieve their potential.

3 – Have an extensive knowledge and well-informed understanding of the assessment requirements and arrangement for the subjects/curriculum areas they teach, including those related to public examinations and qualifications.

4 – Have up to date knowledge and understanding of the different types of qualifications and specification and their suitability for meeting learners' needs.

5 – Have a more developed knowledge and understanding of their subjects/curriculum areas and related pedagogy including how learning progresses within them.

6 – Have sufficient depth of knowledge and experience to be able to give advice on the development and wellbeing of children and young people.

Professional Skills

7 - Be flexible, creative and adept at designing learning sequences within lessons and across lessons that are effective and consistently well-matched to learning objectives and the needs of learners and which integrate recent developments, including those relating to subject/curriculum knowledge.

8 - Have teachings skills which lead to learners achieving well relative to their prior attainment, making progress as good as, or better than, similar learners nationally.

9 – Promote collaboration and work effectively as a team member.

10 – Contribute to the professional development of colleagues through coaching and mentoring, demonstrating effective practice, and providing advice and feedback.