



Tudhoe Learning Trust

Appraisal Policy (Teachers)

Approved by: Trust Chief Executive Officer **Date:** October 2019

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Introduction

This policy and procedure is aligned with the objectives and principles contained within the Trust's Pay Progression Policy and sets out the framework for a clear and consistent assessment of the overall performance of teachers and for supporting their development needs within the context of the school's improvement plan and their own professional needs.

The policy applies to all teachers, including the Chief Executive Officer and the Head Teacher, employed by the school except those:-

- on contracts of less than one term,
- undergoing an induction or probationary period of employment
- who are the subject of capability procedures.

The appraisal cycle has been determined by the Trust as:

- For Teachers this will be by 31st October
- For Head Teachers, Deputy Head Teachers and the Chief Executive Officer this will be by 31st December

All appraisal activity will take place within a teacher's directed time and be impact assessed in order not to increase the teacher's workload.

The policy sets out the framework for a clear and consistent assessment of the overall performance of teachers and for supporting their development needs within the context of the school's improvement plan and their own professional needs.

Where teachers are eligible for performance related pay progression, the assessment of such performance throughout the appraisal cycle will link to school improvement, priorities and development planning in addition to the standards outlined in the Teachers' Standards. As such, objective criteria which also reflect the professional aspirations of teachers will be specified in individual planning and review statements. This will be the basis on which the Appraiser makes a recommendation.

The appraisal process and the statements generated under it will be treated with strict confidentiality at all times.

The Chief Executive Officer will provide the Trust Board of Directors with a written report on the operation of the Trust's appraisal policy annually. The report will not contain any information, which would enable individuals to be identified.

In applying this policy, the Trust will not unlawfully discriminate in respect of any of the protected characteristics as defined under the Equality Act and specified below:

- Age
- Disability
- Gender reassignment
- Pregnancy and Maternity
- Race
- Religion or Belief
- Sex
- Sexual Orientation
- Marriage and civil partnership

The operation of this Policy will be kept under review and changes will be made as deemed appropriate.

Appointment of Appraisers

The Trust believes that wherever possible the role of appraiser should be delegated to the relevant line manager within each school, as they are best placed to undertake a review and assess the activities of the appraisee.

The Chief Executive Officer will be appraised by Representatives of the Board of Directors, supported by a suitably skilled advisor appointed by the Board of Directors for that purpose.

The Head Teacher will be appraised by the Chief Executive Officer.

The Head Teacher of each school within the Trust will be responsible for appraising their Teaching Staff and where the Head Teacher is not the Teacher's direct line manager, they may nominate an appropriate member of their leadership team to be appraiser.

Where an appraisee is of the opinion that their appraiser is unsuitable for professional reasons, they may submit a written request to their Head Teacher for that person to be replaced, stating those reasons. The Head Teacher may make a written request to the Chief Executive and the Chief Executive may make a written request to the Chair of the Board of Directors. The request will be given consideration and advice may be sought from Human Resources. The appraisee will be notified of the decision as soon as possible thereafter.

Where a nominated appraiser will be absent for the whole appraisal cycle, an alternative appraiser will be nominated and the appraisal cycle will then resume.

Objective Setting

The objectives set will be specific, measurable, achievable, realistic, time-bound, fair and equitable in relation to teachers with similar roles/responsibilities and experience, and will have regard to what can reasonably be expected of anyone in that position, given the desirability of the appraisee being able to achieve a satisfactory balance between the time required to discharge their professional duties and the time required to pursue their personal interests outside work. They should be such that, if they are achieved, they will contribute to improving the education of pupils at the school or any plan of the Trust designed to improve educational provision and performance. They will be appropriate to the teacher's role and level of experience.

The Chief Executive Officer's objectives will be set by representatives of the Board of Directors after consultation with the appointed external advisor.

Head Teacher's objectives will be set by the Chief Executive Officer.

Objectives for each employee will be set before or as soon as practicable after, the start of each appraisal period.

Trust Directors have determined that whilst not all teachers will have the same number of objectives, all teachers, including the Chief Executive Officer and Head Teachers within the Trust, will be subject to a maximum of 3 objectives in any one appraisal cycle.

Quality Assurance

The Head Teacher of each school within the Trust will moderate all the planning statements where required to check that the plans recorded in the statements of teachers at the school are consistent between those who have similar experience and similar levels of responsibility,

as well as complying with relevant workforce standards, the Trust Appraisal Policy and the requirements of equality legislation.

The Chief Executive Officer will moderate a sample of planning statements to check that the plans recorded in the statements of teachers at the school are consistent between those who have similar experience and similar levels of responsibility across the Trust, as well as complying with relevant workforce standards, the Trust Appraisal Policy and the requirements of equality legislation.

The Appraiser and appraisee will seek to agree the objectives, the method of assessment, and any support necessary to achieve these objectives but where a joint determination cannot be made the Appraiser will make the determination. In such situations the appraisee may record their objections on the planning and review statement. (See Appendix 3 - Sample Appraisal Planning and Review Statement).

Reviewing Progress

Inherent in the role of managers is the responsibility to monitor the performance of teachers and to regularly discuss with them their standard of work. It is particularly important that any difficulty, or potential difficulty, to achieve the required standard is discussed with them at the earliest opportunity (see Appendix 1).

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. Good progress towards the achievement of a specific objective, even if the performance criteria have not been met in full, may be assessed favourably depending upon individual circumstances.

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.

Though appraisal is an assessment of overall performance, specific objectives cannot cover the full range of an appraisees' roles/responsibilities and will therefore focus on the priorities for the cycle. However, any subsequent performance review will include an assessment of any relevant workforce standards not directly covered by these objectives.

Classroom Observation

This Trust believes that observation of classroom practice and other responsibilities is important both as a way of assessing teachers' performance in order to identify any particular strengths and areas for development employees may have, as well as a way of gaining useful information which can inform school improvement more generally.

All such observations will be carried out in a supportive fashion, the amount and type of classroom observation will be dependent upon the individual circumstances of the appraisee and the overall needs of the school. All classroom observation will be undertaken in line with the classroom observation protocol appended to this policy in Appendix 2.

The amount of classroom observation for any teacher within school will be limited to a maximum of 3 hours for the purposes of the appraisal cycle.

Performance Related Pay

The School Teachers Pay and Conditions Document introduced Performance Related Pay for Teachers from September 2013.

Paragraph 21.1 of the 2013 Regulations states that:

‘The relevant body must consider annually whether or not to increase the salary of teachers who have completed a year of employment since the previous annual pay determination and, if so, to what salary within the relevant pay range ’

Details of performance criteria, evidence and the relevant pay ranges are contained in the Teachers Pay Progression Policy.

The aforementioned Policy contains a Recommendation for Performance Pay Progression Form which Head Teachers will complete in order to make a recommendation on pay progression to the Chief Executive Officer. It is the responsibility of the Appraiser to advise the teacher on conclusion of the appraisal cycle whether they have met the relevant performance criteria and the impact of this upon their salary where appropriate. Every Teacher will receive an annual statement as part of the pay review process.

During the cycle the appraisee should:

- receive written feedback on classroom observation;
- receive written evidence from any persons or any data as determined at the planning meeting at the beginning of the cycle;
- provide available evidence/data relating to the objectives undertaken during a review of their performance, as agreed within their planning and review statement
- receive feedback on their progress from the appraiser and the opportunity to discuss this;
- be advised, at the time they arise, of any concerns and have the opportunity to discuss these with the appraiser; and advise the appraiser of any concerns they have about progress, the provision of support or training at the time they arise.

All evidence gathered during the cycle must be shared with the appraisee as it is collected so that there are no surprises at the end of the cycle.

All teachers employed on a fixed term contract of less than one year will have their performance 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 begins their employment in a Trust school part-way through a cycle, the Head Teacher, or in the case where this is the Head Teacher the Chief Executive Officer, shall determine the length of the first cycle for that member of staff, with a view to bringing this cycle into line with the cycle for other teachers within school as soon as possible.

Where a teacher transfers to a new post within the Trust part-way through a cycle, the Head Teacher or, in the case where it is the Head Teacher the Chief Executive Officer, shall review arrangements and consider whether the cycle shall be amended and/or to change the Appraiser.

Where a teacher does not meet the relevant performance criteria it is the responsibility of the Appraiser to provide details of support and development available to them. If necessary details of the Appeals Process may be shared (contained in the Teachers Pay Progression Policy).

Suspension of Appraisal Policy

Teachers will receive constructive feedback on their performance throughout the year and as soon as possible after the classroom observation (or where other evidence has come to light) and no later than the end of the following working day.

Where the appraiser has identified serious concerns in performance, that the appraisal process has been unable to address, they will refer the matter to the Head Teacher, Chief Executive Officer or Chair of the Board of Directors where appropriate.

Based on the information received the Head Teacher, Chief Executive Officer or Chair of the Board of Directors will;

- (a) advise the appraiser of additional supportive actions that can be taken within the appraisal cycle (see Appendix 1); OR
- (b) determine there is a cause for concern requiring the appraisal policy to be suspended and the Capability Policy & Procedure to be invoked.

Where consideration is given to option (b) advice must be sought from Human Resources to ensure appropriate evidence is in place. Where such a determination is made by the Head Teacher the appraisee will be notified verbally and followed up in writing within five working days that the appraisal policy will no longer apply and that their performance will be managed under the school capability procedure.

Appeals

An appraisee can appeal against any entry on their planning and review statement, including any changes made to the statement during the cycle.

Any appeal should be deferred until after the moderation process is complete. Simple disagreements should be resolved by discussion between the reviewer and the reviewee without recourse to formal appeal procedures.

An individual wishing to appeal should write to the Trust Human Resources Manager within 5 school working days of being notified of the decision. Details of the appeals process is covered in the Trust's Pay Progression Policy.

Further Information

If you would like any further information or advice in relation this Policy please contact the Trust HR Manager on 01388 811 765 or office@tudhoelearningtrust.co.uk

MANAGING PERFORMANCE THROUGH APPRAISAL

The first steps at supporting teachers where concerns have been identified in their performance should, other than in exceptional circumstances, be through the process of the Trust appraisal policy. This will allow in most cases early identification of the cause of any minor concerns relating to performance and ensure supportive measures can be put in place.

Discussions between the appraiser and appraisee should take place in an open and constructive manner and should be regarded as part of the normal working routine with the specific aim of identifying ways in which the teacher can be encouraged and helped to improve performance. Where necessary any objectives agreed as part of the existing appraisal cycle should be reviewed to take account of identified concerns, outlining expectations, outcomes and timescales.

It is likely that the vast majority of cases will be resolved through this process and contained within the appraisal system. However, where it has not been possible to eliminate concerns about an employee's performance or improvement has not been sustained then in such circumstances the appraiser will inform the teacher of their intention to refer the matter to the Head teacher (where the Head Teacher is not already the line manager).

The Head Teacher in conjunction with the Trust Human Resources Manager will review the supportive measures that have already been put in place to determine the most appropriate route to achieve the required levels of performance. In doing so they will come to the following conclusions:

- a. advise the appraiser of additional supportive actions that can be taken within the appraisal cycle; OR
- b. determine there is a cause for concern requiring the appraisal policy to be suspended and the capability procedure to be invoked.

Where (a) is the conclusion the appraiser will continue with the appraisal policy and amend the planning and review statement to reflect changes to objectives and additional supportive actions to meet them. Where acceptable performance is achieved then the appraisal cycle, as contained within this policy will continue. Where performance remains a concern following completion of the additional supportive actions the matter will be referred back to the Head Teacher for further review.

Where (b) is the conclusion the appraisee will be notified in writing that the appraisal system will be suspended and that their performance will now be managed under the Trust Capability Policy and Procedure.

FORMAL CLASSROOM OBSERVATION PROTOCOL

The Trust is committed to ensuring that 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; and
- respect the confidentiality of the information gained.

The total period for classroom observation arranged for any applicable teacher will have regard to the individual circumstances of the employee. The amount of observation for each teacher should reflect and be proportionate to the needs of the individual and under this appraisal policy will be no more than 3 hours in an appraisal cycle.

The arrangements for classroom observation will be confirmed at the beginning of each cycle and will include the amount of observation, specify its primary purpose, any particular aspects of performance which will be assessed, the duration of the observation, when during the appraisal cycle the observation will take place and who will conduct the observation.

Information gathered during the observation will be used, as appropriate, for a variety of purposes including informing on school self-evaluation and school improvement strategies in accordance with the school's commitment to streamlining data collection and minimising bureaucracy and workload burdens on teachers. Every step should be taken to ensure anonymity of staff concerned in the use of such data.

In keeping with the commitment to supportive and developmental classroom observation those being observed will be notified in advance.

Classroom observations will normally be undertaken by a member of the School Leadership Team or immediate line manager who will have QTS. In addition, in this school classroom observation will only be undertaken by those who have had adequate preparation and the appropriate professional skills to undertake observation and to provide constructive oral and written feedback and support, in the context of professional dialogue between colleagues.

Oral feedback will be given as soon as possible after the observation and no later than the end of the following working day.

Written feedback will be provided within five working days of the observation taking place. If issues emerged from an observation that were not part of the focus of the observation as recorded in the planning and review statement these should also be covered in the written feedback and the appropriate action taken in accordance with this policy.

The written record of feedback also includes the date on which the observation took place, the activities and actions observed and the length of the observation. The member of staff will have the right to append written comments on the feedback document. No written notes in addition to the written feedback will be kept. (See Appendix 4 - Sample Observation Feedback Proforma).



Tudhoe Learning Trust
Appraisal Planning and Review Statement

APPRAISAL - PLANNING

Teacher		Year Group		Appraiser		Date	
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Performance Objective	Success Criteria	Actions/Milestones	Sources of Evidence to assess impact
1			
2			
3			

Signed Employee:		Date:	
Signed Head Teacher:		Date:	

APPRAISAL - INTERIM REVIEW

Teacher		Year Group		Appraiser		Date	
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Objective:	Summary of progress towards objective	Success Criteria	Action Required (Include Support to be Provided and Timescales)
1		NOT MET PARTIALLY MET MET	
2		NOT MET PARTIALLY MET MET	
3		NOT MET PARTIALLY MET MET	

Signed Employee:		Date:	
Signed Head Teacher:		Date:	

APPRAISAL - FINAL REVIEW

Teacher		Year Group		Appraiser		Date	
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Teacher Standard	Not met	Partially	Met	Notes / Comments
1. Set high expectations which inspire, motivate and challenge pupils				
2. Promote good progress and outcomes				
3. Demonstrate good subject and curriculum knowledge				
4. Plan and teach well structured lessons				
5. Adapt teaching to respond to pupils' strengths and needs				
6. Make accurate and productive use of assessment				
7. Manage behaviour effectively				
8. Fulfil wider professional responsibilities				

During the final assessment meeting, the appraiser must assess the teacher's performance, roles and responsibilities against the 'Teachers' Standards' and the objectives set for the appraisal period.

Summary of progress towards objective:	Action Required (Include any support to be provided and timescales)

Pay Progression					
Current Pay Grade		Next Pay Grade		Recommendation: (Submit to Chief Executive Officer for moderating)	SUCCESSFUL/UNSUCCESSFUL

Signed Employee:		Date:	
Signed Head Teacher:		Date:	



**Tudhoe Learning Trust
Lesson Observation Feedback Proforma**

LESSON DETAILS					
Teacher:		Observer:			
Class:		Year:		Date:	
Focus:	Context:				
Summary of main points:					
Key strengths:					
Areas for development:					
Is any follow-up required? YES/NO					
If 'YES', outline required action:					
Action completion date:					

Observations with reference to Ofsted criteria

FOCUS AREA	OUTSTANDING	GOOD	REQUIRES IMPROVEMENT	INADEQUATE
Intent	'Good' criteria is being met The teacher demonstrates a firm understanding of the school's curriculum intent Work given to pupils matches the aims of the curriculum Work is coherently sequenced so that pupils accumulate sufficient knowledge and understanding and skills to secure future learning	Sequence of learning meets the needs of disadvantaged pupils and those with SEND	Any aspect that does not meet the requirement for 'good' will 'require improvement'	There is little evidence of structure and coherence in the sequence of work Sequence of learning is jumbled and does not build knowledge, skills or understanding
Evidence and Comments:				
Subject knowledge and understanding	'Good' criteria is being met	The teacher demonstrates good subject knowledge (i.e. they understand the component knowledge required, and they know how to check for common misconceptions and how to correct them) Subject matter is presented clearly, promoting appropriate discussion	Any aspect that does not meet the requirement for 'good' will 'require improvement'	Pupils' experiences in the lesson contribute weakly to their learning
Evidence and Comments:				

FOCUS AREA	OUTSTANDING	GOOD	REQUIRES IMPROVEMENT	INADEQUATE
Assessment and feedback	'Good' criteria is being met	Pupils' understanding is checked systematically Misconceptions are accurately identified Clear direct feedback is provided Teaching is adapted as necessary to provide for the learning needs within the group Information from assessments is used well, to check understanding and inform teaching	Any aspect that does not meet the requirement for 'good' will 'require improvement'	Pupils' experiences in the lesson contribute weakly to their learning
Evidence and Comments:				
Use of resources	'Good' criteria is being met	Pupils can remember the necessary prior learning in order to integrate the current learning Resources used clearly support the accumulation of knowledge and skills in an ambitious curriculum Work given to pupils is demanding and supports their learning Reading and literacy are developed in a manner consistent with the school's policies	Any aspect that does not meet the requirement for 'good' will 'require improvement'	Pupils' experiences in the lesson contribute weakly to their learning
Evidence and Comments:				

FOCUS AREA	OUTSTANDING	GOOD	REQUIRES IMPROVEMENT	INADEQUATE
Impact	<p>'Good' criteria is being met</p> <p>Pupils consistently achieve highly, particularly the most disadvantaged</p> <p>Pupils with SEND achieve particularly well</p> <p>Pupils' work is consistently of high quality</p>	<p>Pupils develop detailed knowledge and skills over time. As a result, they achieve well</p> <p>Pupils with SEND achieve the best possible outcomes</p> <p>Pupils are able to communicate their learning appropriately: verbally, in writing and using mathematical forms where appropriate</p>	<p>Any aspect that does not meet the requirement for 'good' will 'require improvement'</p>	<p>Pupils cannot communicate their learning appropriately</p> <p>The progress of disadvantaged pupils is well below that of other pupils</p> <p>Pupils with SEND do not achieve as well as they should.</p> <p>Expectations are low and their needs are not met</p>

Evidence and Comments:

Signed Employee:		Date:	
Signed Head Teacher:		Date:	