



Appraisal Policy for Teaching Staff

Status Consulted - Not agreed

Schools serving their communities through excellence, exploration and encouragement within the love of God.

The Diocese of Lincoln is called to faithful worship, confident discipleship and joyful service and our church schools bear witness to our belief that every child is made in the image of God and loved by Him. They were founded for the good of their local communities so that children can be educated through the values and stories of Christianity.

This policy has been implemented following agreement with staff and the recognised trade unions. The application of this policy will be monitored and reviewed annually by the Trust and recognised trade unions.

Policy Owner: LAAT CEO
Policy Date: September 2019
Policy Review Date: September 2020

Introduction

- 1.1 The Lincoln Anglican Academy Trust (LAAT) is committed to providing high quality teaching and learning. Each employee will therefore be given support to ensure that they have the skills they need to carry out their role, help them continually improve their performance and develop to their full potential which will in turn help improve outcomes for our young people.
- 1.2 Having an effective performance management process in place is one of the ways we can support our employees and deal with performance matters as they arise. This involves effective day-to-day supervision, carrying out appraisals, providing development opportunities.
- 1.3 This appraisal policy has been developed to comply with current legislation including the Education (School Teachers' Appraisal) (England) Regulations 2012 (the Appraisal Regulations) and the Equality Act 2010.
- 1.4 This policy does not form part of any employee's contract of employment and may be amended at any time.

2. Scope and purpose of this policy

- 2.1 The purpose of this policy is to set out the framework for a clear and consistent assessment of the overall performance of teaching staff and for supporting their development in line with of the Trust's plan for improving educational provision and performance.
- 2.2 This Trust regards the Department for Education Teachers' Standards as the baseline of expectations for the professional practice and conduct of teachers, from the point of qualification.

The Trust has decided to use the principles of the Appraisal Regulations and apply them to support teaching staff employed within the Trust. For support staff, please see the support staff appraisal policy which applies the same principles and ensures consistency across all employees.

- 2.3 This policy applies to all teachers of the Trust, except those on contracts of less than one term, those undergoing induction and those who are subject to the Trust's Capability Policy. It does not apply to agency workers, contractors or volunteers.
- 2.4 Where an employee is not covered by this policy as set out in 2.3 above, then performance will be managed through regular supervision and feedback.

3. The appraisal period

- 3.1 The appraisal period will run from September to August.
- 3.2 Employees who are employed on a fixed term contract of less than one year but more than one term 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. Appointing appraisers

- 4.1 The Headteacher will be appraised by a sub-group consisting of two members who will include CEO or a representative and the Chair of the Local Board or a representative. In appraising the performance of the Headteacher the sub-group must consult the appointed School Effectiveness Adviser.
- 4.2 The Headteacher of each Academy will decide who will appraise all other employees.
- 4.3. Employees will be notified of who their appraiser will be, before or as soon as practicable after the start of each appraisal period. The dedicated appraiser should normally have line management responsibilities for the teacher whose performance they are reviewing and will conduct all aspects of the review, including any pay recommendations, for teachers who are eligible. On an exceptional basis, where a teacher objects to the headteacher's choice, his/her concerns will be carefully considered and an alternative appraiser may be appointed. The appraiser will be a qualified teacher and will normally be trained on how to conduct reviews. In circumstances where a pay recommendation is made, the Headteacher will moderate planning statements to check that the plans recorded in the statements of staff at the Academy are consistent between those who have similar experience and similar levels of responsibility and comply with the Academy's performance appraisal policy and the regulations and the requirements of equality legislation.

5. Setting objectives

- 5.1 Objectives for each employee will be set before or as soon as practicable after, the start of each appraisal period. The objectives will be Specific, Measurable, Achievable, Realistic and Time-bound (SMART) and will be fair, reasonable, achievable, equitable and appropriate to their role and level of experience. The school operates a system of moderation to ensure that all appraisers are working to the same standards. Objectives will be moderated by the headteacher to ensure that they are consistent between teachers with similar experience and levels of responsibility. Should the objectives not be agreed, the final decision on allocation of objectives rests with the headteacher. The teacher may record his/her objection to an objective on the planning statement. Objectives may be revised if circumstances change.
- 5.2 The Teachers Standards will be used to inform the setting of the objectives. The Teachers Standards will not be used as a checklist against which a

teacher's performance will be assessed. Assessment against the Teachers Standard starts with the premise that all teachers are meeting the Teachers Standards unless there is significant written evidence to the contrary. There will be no more than 3 objectives

- 5.3 Objectives and performance management discussions will not solely be based on the assessment data of a single group of pupils.
- 5.4 Objectives **may** be revised if circumstances change during the appraisal period, for example, absence or a change of line manager. Any change to objectives will be discussed with the employee. Should the objectives not be agreed, the final decision rests with the Headteacher. The teacher may record his/her objection to an objective on the planning statement.
- 5.5 The objectives set for each employee will, if achieved, contribute to the Academy's plans for improving educational provision and performance and improving the education of pupils. The Headteacher of the Academy together with the senior leadership team will be responsible for quality assuring objectives set across the whole Academy against the Academy's improvement plan. Academy objective or a team objective will be tailored to suit the needs of each member of staff as appropriate.
- 5.6 In the case of an employee with a disability LAAT will undertake to incorporate any adjustments which can reasonably be made to give a teacher who is absent for disability related reasons an equal opportunity to participate in appraisal and to access pay progression.
- 5.7 For staff on maternity, adoption or shared parental leave or prior to maternity leave, there will be flexibility in the objective setting process. We will not require teachers to use Keeping in Touch (KIT) days for the purposes of appraisal.

6. Reviewing performance

Observation

- 6.1 This Trust understands the importance of carrying out observation of classroom practice and other responsibilities of teachers and teaching assistants. Observation assesses performance to identify strengths (so the appraiser can give positive feedback and praise) and areas for development, but also provides a way of gaining useful information which can inform improvements in the Academy more generally. All observations will be carried out in a supportive way and written feedback will always be provided following the observation. Please see Observation Protocol.

Development and support

- 6.2 Our appraisal process is used to inform and decide continuing professional development which improves performance. The Trust encourages a culture in which all employees take responsibility for improving their performance in their role and extending their depth of knowledge through appropriate professional development. Agreed training and professional development will be linked to Academy improvement priorities and where possible, to the ongoing professional development needs and priorities of individuals. We are committed to supporting appropriate and reasonable development which not only assists the employee in their role but also leads to improvements in performance across the Academy/Trust.

Feedback

- 6.3 Within the Trust, employees will receive constructive feedback on their performance throughout the year and as soon as practicable after an observation has taken place (where applicable) or other evidence has come to light. Feedback should highlight particular areas of strength as well as any areas that need attention. Often this can resolve issues without the need for any formal action.
- 6.4 If agreed as part of the planning meeting, feedback may also be sought from relevant employees within the Academy/Trust. For example, a teacher may be asked to provide feedback on a teaching assistant who works with them.
- 6.5 Where there are concerns about aspects of an employee's performance relating to the appraisal process, the appraiser will meet the appraisee to:
- (a) give clear feedback about the nature and seriousness of the concerns
 - (b) give the appraisee the opportunity to comment and discuss the concerns;
 - (c) find out if there are any issues (both in or outside of work) that are affecting their performance that the appraiser can assist with or provide support;
 - (d) make clear what improvements need to be made and how this can be achieved;
 - (e) agree any support (for example coaching, mentoring, training, structured observations, observing others in a similar role etc), that will be provided to help address those specific concerns;
 - (f) make clear how, and by when, the appraiser will review progress either by setting new and clear objectives, which will be assessed during the review period or by revising current objectives, allowing sufficient time for improvement; the appraiser and appraisee will seek to agree any support plan and the timescales involved. This will be an informal review period;
 - (g) explain the implications and process if no – or insufficient – improvement is made during the informal review period i.e. the application of the capability policy.

Employees should be advised to contact their TU representative for support.

- 6.6 This Appraisal meeting can happen at any time during the appraisal period. It is designed to be a supportive meeting to address issues early to avoid the matter escalating, giving the employee the opportunity to improve. At the meeting, the appraiser will present evidence collected that indicates that the employee's performance is not up to the required teacher standard. Although this is part of an informal process, a note of the meeting will be made and a copy given to the employee so that they are clear about the support they will be given, what improvements need to be made and the timescales.
- 6.7 An informal review period will follow this meeting; the length will be determined by the appraiser based on the individual circumstances of the situation but it should not be unduly long. During the informal review period, regular meetings should take place to ensure progress is being made. All timescales will be agreed.
- 6.8 At the end of this informal review period when progress is reviewed, if the appraiser is satisfied that the employee 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 performance is improving and the appraiser feels that further time is required to monitor improving performance, the appraiser can decide to extend the informal review period but it should not be unduly long. If there is evidence of insufficient progress then consideration will be given as to whether or not to invoke the capability process for teachers (see specific capability policy)

7. Annual assessment

- 7.1 Performance and development priorities will be reviewed and addressed throughout the process and an interim appraisal meeting **may** take place at the mid-point of the cycle (April) to review performance and progress towards objectives. Any concerns will be noted and an appropriate support plan will be put in place for the remainder of the cycle. The support plan will set out what improvement is required and what support will be provided.

The appraisal meeting will be conducted in a supportive and professional manner. As soon as practicable, following the appraisal meeting, the teacher will receive and have the opportunity to comment on a written appraisal report. The appraisal report will include:

- (a) details of the teacher's objectives for the appraisal period;
- (b) an assessment of the teacher's performance of their role and responsibilities against their objectives, and against the relevant professional standards;
- (c) an assessment of the teacher's training and development needs and identification of any action that should be taken to address them;
- (d) a recommendation on pay where that is relevant (N.B. – pay recommendations need to be made by 31 December for head teachers and by 31 October for other teachers);

- (e) a space for the teacher's own comments.
- 7.2 The assessment of performance and of professional development needs from each individual appraisal will inform the planning process for the following appraisal period for the whole Academy/Trust.
- 7.3 All Appraisals will be carried out in directed time as agreed with the employee, and this will not be within a teachers PPA.
- 7.4 In normal circumstances within 5 working days following the appraisal discussion the teacher will receive and have the opportunity to comment in writing on a written appraisal report which will have been drawn up during the discussion between the reviewer and teacher. The appraisal report will include:
- (a) details of the teacher's objectives for the appraisal period in question;
 - (b) an assessment of the teacher's performance against their objectives and the national standards;
 - (c) an assessment of the teacher's professional development needs and identification of any action that should be taken to meet them
- 7.5 The performance management/appraisal review statement at the end of the cycle must be the only source of evidence teachers require to support pay progression. Teachers may submit additional evidence if they so choose but they cannot be requested or directed to submit additional evidence or penalised if they choose not to do so. The recommendation on pay is made by the appraiser and will be ratified by the Trust. This will be written in the Appraisal review statement to the Headteacher before being referred to the Chair of the Local.

8. Monitoring & Evaluation

- 8.1 During the appraisal period, each employee and appraiser has a responsibility for gathering the appropriate evidence relevant to the agreed objectives. The evidence should demonstrate their progress throughout the year and will be used in order for them to identify any particular strengths or areas for further development at the interim and annual review meetings. The appraiser will then record the discussion on this evidence and make an assessment in the appraisal report.

9. Appeals

If the Teacher is dissatisfied with the appraisal process, this should be raised informally in the first instance. This gives opportunity for a teacher to discuss the appraisal, and to resolve issues quickly and informally. If this does not resolve an issue, a teacher may follow the formal grievance procedure.

The Pay Policy sets out the process for appeals if the teacher is dissatisfied with the outcome of the appraisal related to pay.

10. General Principles Underlying This policy

Confidentiality

- 10.1 The appraisal process will be treated confidentially. However, the desire for confidentiality does not override the need for the Headteacher and Local

Governing Body to quality-assure the operation and effectiveness of the appraisal system. Within each Academy the Headteacher, in conjunction with the senior leadership team, is responsible for reviewing objectives and written appraisal records, in order to check consistency of approach and expectation between different appraisers. All efforts shall be made to ensure anonymity.

Consistency of Treatment and Fairness

- 10.2. The LAAT is committed to ensuring consistency of treatment and fairness. It will abide by all relevant equality legislation, including the duty to make reasonable adjustments for disabled employees. The Board of Directors are aware of the guidance on the Equality Act issued by the Department for Education.

Monitoring and Evaluation

- 10.3. The Local Governing Body and/or Board of Directors and the Headteacher/Principal will monitor the operation and effectiveness of the appraisal arrangements. In developing, applying and evaluating this policy we will monitor the impact on different groups of people with protected characteristics in line with the Trust's Equal Opportunities policy. This will ensure that what we do is done fairly. Information will be shared with the recognised trade unions.

Retention

- 10.4. The Governing Body and Headteacher will ensure that all written appraisal records are retained in a secure place. It is the appraiser's responsibility to ensure HR has a copy of all relevant documents. All records will be kept no longer than is necessary in accordance with the Data Protection Act 1998 and 2018.

11. Review of policy

- 11.1. This policy is reviewed annually with all the recognised trade unions at the JCC. We will monitor the application and outcomes of this policy to ensure it is working effectively.