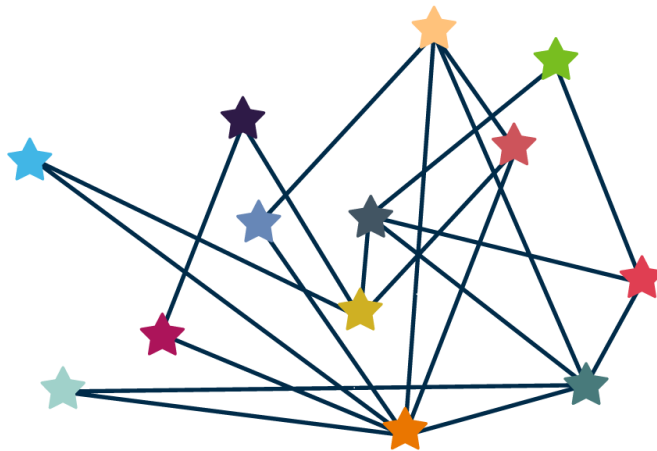


# ULT Appraisal Policy



**UTTOXETER**  
LEARNING TRUST  
INSPIRED TEACHING  
INSPIRING CHILDREN

Approved: Autumn Term 2021  
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## 1. Aims

This policy aims to:

- set out the arrangements for appraising employees within the Trust, including the process and the responsibilities of individuals;
- ensure consistency and fairness across the Trust;
- create a process where professional development is supported and encouraged, in the context of the school's latest Ofsted report, school improvement plan and professional / the Teachers' Standards;
- ensure staff have the skills and knowledge they need to fulfil and excel in their role and provide an excellent education and support to our pupils.

The policy applies to all staff employed by the Trust, except those on contracts of less than one term, those undergoing induction and those undergoing capability procedures.

## 2. Legislation and Guidance

As an academy Trust, we are free to determine our own appraisal arrangements. However, where a teacher's contract specifically incorporates conditions from [The Education \(School Teachers' Appraisal\) \(England\) Regulations 2012](#), these will continue to apply due to [The Transfer of Undertakings \(Protection of Employment\) \(TUPE\) Regulations 2006](#), which protect employees' terms and conditions when a maintained school becomes an academy.

We have based this policy on the [model policy](#) produced by the Department for Education (DfE).

This policy complies with our funding agreement and articles of association.

## 3. Definitions

In this policy, the term 'teacher' refers to classroom teachers, middle and senior leaders, and the headteacher.

Where relevant, we have added further detail regarding arrangements for headteachers, which unless identified is the same for executive headteachers.

## 4. The Appraisal Period

The appraisal period will run for 12 months beginning on the first day of the autumn term for teachers, and from the first day of the summer term for support staff. Appraisals will be held during the autumn term for teachers and the summer term for support staff.

For employees on fixed-term contracts of less than 12 months, the appraisal period will be determined by the duration of their contract.

Employees who start at or leave the school during the appraisal period can have a longer or

shorter appraisal period in that appraisal round as determined by the headteacher, or in the case of the headteacher by the CEO, or in the case of the CEO by the Trust Board.

It is intended that teachers will have had their annual appraisal meeting and received their appraisal report by 31<sup>st</sup> October, and support staff by 31<sup>st</sup> May.

It is intended that the headteacher will have had their annual appraisal meeting and received their appraisal report by 31<sup>st</sup> December.

## **5. Setting Objectives**

Appraisal is a supportive process which will also be used to inform continuing professional and general development. It is important to encourage a culture in which all employees take responsibility for improving their performance and appropriate professional development. Professional development will be linked to school improvement priorities and to the ongoing professional development needs and priorities of individual teachers and other members of staff.

Objectives will be set before, or as soon as possible after, the start of the appraisal period. The headteacher's objectives will be set by the CEO in consultation with the local governing board. The Executive Headteachers objectives will be set by the CEO in consultation with a sub-group of Governors / Trustees. The CEO's objectives will be set by a sub-group of three trustees with a wide range of experience and knowledge of the Trust. The CFO's objectives will be set by the CEO in consultation with the chair of the Finance and Audit Committee.

Objectives will:

- contribute to improving the education of pupils at the school and the implementation of any school improvement plans. To ensure this happens, the headteacher will quality assure all objectives against the school improvement plan;
- be specific, measurable, achievable, realistic and time-bound (SMART);
- take into account the age, capability and prior attainment of students in the teachers' classes and national expectations of student progress for the purpose of 5 wo numerical targets;
- will have regard to what can reasonably be expected for the appraisee to be able to achieve a satisfactory work/life balance;
- be appropriate to the staff member's role and career experience;
- will take into account any disability or the need to take statutory leave when agreeing objectives;
- be revised if circumstances change throughout the year;
- will include a description of what success might look like.

When objectives are set, the staff member will also be informed of the standards their performance will be judged against.

Teachers and support staff will be set three objectives. Staff with leadership responsibilities which are remunerated will be set an additional leadership objective. All teachers including the Headteacher will have a pupil progress objective.

The appraiser and appraisee will seek to agree the objectives but, if that is not possible, the

appraiser will determine the objectives.

The objectives will be moderated locally in schools by the Headteacher and centrally by the CEO.

## **6. Standards**

Teachers will be assessed against the [Teachers' Standards](#). The headteacher, and other school leaders where relevant, will also be assessed against the [Headteachers' Standards](#).

The job description can be a useful place to begin the process of identifying the relevant objectives for each individual post holder.

Other useful reference documents will be development and or business plans as well as the most recent Ofsted School Inspection report.

## **7. Reviewing Performance (including observation protocol)**

We will use a range of evidence to judge a staff member performance:

- formal and informal lesson observations;
- observations and results from wider school activities, if applicable;
- performance of pupils;
- reviews of planning and marking;
- internal tracking;
- moderation both within and across schools;
- parent and pupil voice, if applicable;
- evidence of progress against standards.

### **7.1 Observation protocol**

We believe that observations are an important way of assessing the staff members' performance. They can help identify a strengths and areas for improvement, and can help us identify areas of good practice that can be shared across the school.

There will be both formal and 'drop in' observations. Staff members with responsibilities outside the classroom will also have these responsibilities observed.

All observations will:

- be carried out in an objective, fair, professional and supportive manner;
- for teaching staff, be carried out by teachers with Qualified Teacher Status;
- provide constructive feedback;
- remain confidential to those who need to know details as part of their jobs;
- Have 5 working days' notice given of time and date of a formal observation.

### **7.2 'Drop in' observations**

Drop-in observations will usually be conducted by middle and/or senior leadership in order to monitor the quality of teaching and learning.

A headteacher may determine that it is necessary to collect additional evidence to help

inform the evaluation of teaching standards and school improvement strategies. This additional evidence may include walkabouts, task observation, reviews of assessment results and lesson planning records. It may not be practicable to provide advance notice of these additional monitoring activities.

Drop-ins will usually last around 10- 15 minutes, and may involve the observer talking to pupils and looking at their work.

The frequency will depend on the individual teacher and the school's needs at the time. Generally, verbal feedback will be given the following day.

We will use all reasonable endeavours to provide written feedback within 5 working days.

Please note that we also carry out drop-in observations where fellow teachers observe a lesson for their own professional development. Notice may not be given and evidence will not be used as part of the appraisal process.

### **7.3 Formal observations**

The purpose of formal observations is to assess the staff members performance and progress against their objectives and the relevant standards.

The number of formal observations will be agreed with the staff member during their appraisal meeting, and will be determined by the staff member's individual circumstances and the needs of the school at the time.

For example, Early Career Teachers and less experienced teachers who have recently started at the school will receive a number of formal observations to establish their strengths and areas for development. A very experienced teacher will typically receive fewer observations.

All colleagues will not receive more than three formal observations over the year.

Generally, verbal feedback will be given the following day.

We will use all reasonable endeavours to provide written feedback within 5 working days.

### **7.4 Additional observations**

Additional formal observations will take place if:

- the staff member requests them;
- there are concerns that the staff members performance is not up to standard (this may be triggered by poorly performing or poorly behaved pupils);
- the staff member is subject to formal capability proceedings.

The above protocols will still apply to these additional observations.

## **8. Annual Assessment**

Performance will be reviewed and addressed on a regular basis throughout the year for example through line-management meetings, in response to observations and through the mid-year review with the line manager.

When progress is reviewed, if the appraiser is satisfied that the employee has made, or is making, sufficient progress, the appraisal process will continue as normal, with any remaining issues continuing to be addressed through that process.

The appraisal meeting is the end point of the annual appraisal process and in this meeting, the appraiser will:

- review the relevant evidence;
- assess performance in the appraisal period against the relevant standards;
- assess performance in the appraisal period against objectives;
- discuss the employee's professional development needs and identify action that should be taken
- discuss the employee's wellbeing, career aspirations and any difficulties they may be facing;
- if necessary, discuss the employee's underperformance and put a plan in place to address it. They should also inform the staff member that if performance does not improve, capability proceedings may begin, where applicable.

## **9. Conducting Annual Appraisal Meetings**

The headteacher's appraisal meeting will be conducted by the CEO with the governing board.

The governing board will delegate the headteacher's appraisal to a sub-group of three governing board members with a wide range of experience and knowledge of the school. This will not include any staff governors. An appeals panel, if necessary, will be a group of three trustees from the Finance and Audit Committee.

The headteacher will decide who will appraise all other staff. Unless there is a good reason not to, this will normally be the staff member's line manager. The appraiser should have equivalent or greater level of responsibility than the staff member being appraised and will have received sufficient and appropriate training before undertaking the role. All appraisers of teachers will have qualified teacher status with current or recent teaching experience.

Headteachers, and the CFO can raise an objection to the CEO, in writing and with good reason, outlining why an appointed governor/Trustee should be excluded from the appraisal process. The CEO can raise an objection to the Chair of the Trust. Staff can raise an objection to the headteacher, in writing and with good reason, outlining why an appointed appraiser should be excluded from the appraisal process on professional grounds. Where objections are rejected the employee should be advised in writing.

Wherever practicable, an appraiser should only have a maximum of four appraisees.

Appraisal meetings will take place within the staff members' directed time, but not PPA and will typically last for at least an hour. Appraisees will be encouraged to present their evidence to support a two-way dialogue regarding progress. Scheduling appraisal meetings for an hour and a half is therefore recommended.

## **10. Appraisal Report**

The content of the appraisal review statement will be drawn up in discussion between the appraiser and appraisee. We will use all reasonable endeavours to complete this within 5 working days.

This will include:

- an assessment of the staff member's performance against their objectives and the relevant standards;
- an assessment of the staff members training and development needs, and the action that should be taken to address them;
- where relevant, a recommendation on pay progression.

There will be space in the report for the staff members own comments.

After the report has been issued, we will hold review meetings where staff members can discuss the contents of their report if they wish.

All staff will sign the appraisal report to say they have seen it and agree with its content.

Staff can appeal to the headteacher, the headteacher can appeal to the Finance and Audit Committee, the CFO and the CEO can appeal to the Trust Board Appeals committee, if they disagree with the contents of the report and the pay recommendation it makes. Any appeal must be made within 10 working days, setting out the reasons for appeal and requesting a meeting to discuss their concerns. The meeting will be held in line with the Formal Meeting Procedure. They may be accompanied by a trade union representative/official or colleague. The Employee will be informed in writing of the outcome of the appeal as soon as possible following the meeting, but at the latest within 5 working days of the appeal meeting.

A template appraisal report can be found in appendix 2. The final version of the appraisal documentation will be placed on the employee's file and a copy of their CPD made available to the school's CPD Coordinator. The sharing of such information is governed by the data protection principles under the Data Protection Act 1998.

## **11. Concerns About a Staff Member's Performance**

If it becomes clear a staff member is having difficulties at any point during the appraisal period, they will be provided with additional support.

This will begin with a meeting with their line manager, where the problem will be discussed and potential solutions identified. A performance improvement plan may be created.

The nature of the support will be based on the individual's circumstances. For example, staff whose difficulties are linked to a long-term health condition may be referred to the occupational health service. Staff new to the school may be given a mentor or coach.

The concerns may be of a nature that would usually involve beginning the capability procedure. In these cases, refer to our capability policy.



## **12. Confidentiality**

The appraisal process and relevant documents are strictly confidential. Only staff members who need the information in order to do their jobs will have access to the information.

Appraisal information will be anonymised when information is reported to the governing board / Trust Board.

Appraisal records will be kept securely in the staff member's personnel file for a minimum period of six years until they are destroyed.

## **13. Monitoring Arrangements**

The Trust board will monitor and review the effectiveness of the appraisal policy.

The headteacher will monitor objectives and assessments to ensure consistency. This policy will be reviewed every three years.

## **14. Links with Other Policies**

This policy should be read in conjunction with our capability and pay policies.

The capability policy will be used where this policy has not been able to address concerns with a staff member's performance. It applies to all staff, not just teaching staff.

The pay policy sets out how pay increases will be awarded, based on the results of a teacher's appraisal.

## Appendix 1: Appraisal Timelines

DATE	ACTION
End of July	Discuss and set objectives, inform teachers of the standards their performance will be assessed against
First day of autumn term	Appraisal cycle begins
September – October	Appraisal meeting held to review the previous appraisal period
31 October	Appraisal process is completed for teachers, deadline for appraisal reports to be sent
31 December	Appraisal process is completed for the headteacher, deadline for appraisal report to be sent
30 April	Mid-year review held to review progress
Throughout the year	Formal and drop-in observations and monitoring take place, constructive feedback is provided

DATE	ACTION
End of April	Discuss and set objectives, inform support staff of the standards their performance will be assessed against
First day of spring term	Appraisal cycle begins
May – June	Appraisal meeting held to review the previous appraisal period
31 May	Appraisal process is completed for support staff, deadline for appraisal reports to be sent
30 September	Mid-year review held to review progress
Throughout the year	Monitoring takes place, constructive feedback is provided

## Appendix 2: Appraisal Report Template

REVIEW				
SCHOOL YEAR:				
Assessment against objectives:				
Objective 1:				
Fully achieved		Partly achieved		Not achieved
Comments:				
Objective 2:				
Fully achieved		Partly achieved		Not achieved
Comments:				
Objective 3:				
Fully achieved		Partly achieved		Not achieved
Comments:				
Objective 4:				
Fully achieved		Partly achieved		Not achieved
Comments				

ASSESSMENT AGAINST STANDARDS				
Standards that apply (i.e. the Teachers' Standards and any other relevant standards):				

## ASSESSMENT AGAINST STANDARDS

Comments:

**RECOMMENDATION FOR PAY PROGRESSION (WHERE APPLICABLE)**

Is pay progression being recommended?

*(Recommendations are subject to the approval of the pay committee of the local governing body)*

If so, what is the recommended new salary?

Reasons:

Reviewer signature:

Reviewee signature:

**PLANNING**

**PLANNING FOR THE NEXT SCHOOL YEAR:**

New objectives

Objective 1:

**PLANNING**

**PLANNING FOR THE NEXT SCHOOL YEAR:**

Steps to achieve, evidence to assess progress, and timescales:

Objective 2:

Steps to achieve, evidence to assess progress, and timescales:

Objective 3:

Steps to achieve, evidence to assess progress, and timescales:

Objective 4:

Steps to achieve, evidence to assess progress, and timescales:

## STANDARDS

Standards to focus on:

Evidence to assess progress and timescales:

Training and development

Focus:

Action:

Support:

Timescales:

**COMMENTS**

Reviewer:

Reviewee:

Signatures

Reviewer:

Reviewee:

Date:

**DATE OF NEXT MEETING:**