



LIFE Education Trust

Learning Is For Everyone

Our Aim is that every School will be:

- An efficient school
- An effective School
- An enriching school
- An enabling school

APPRAISAL POLICY

Policy	Appraisal Policy
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1. INTRODUCTION

Under statutory regulations, appraisal arrangements for all teachers in maintained schools in England will be changing from 1 September 2013.

The Education (School Teachers' Appraisal) (England) Regulations 2012, made under the Education Act 2002, came into force on 1 September 2012 and replace The Education (School Teacher Appraisal) (England) Regulations 2006; the new regulations can be found at www.legislation.gov.uk/uksi/2012/115/pdfs/uksi_20120115_en.pdf

Under the appraisal arrangements that took effect from 1 September 2013, the performance of all teachers, regardless of their career stage, will be assessed against the Teachers' Standards. The standards define the minimum level of practice expected of trainees and teachers from the point of being awarded QTS.

The standards against which performance must be assessed in respect of a teacher are the set of standards articulated in the Teachers' Standards document and any other set of standards relating to teachers' performance published by the secretary of state that the governing body or head teacher determine as being applicable.

In order to meet the Teachers' Standards, a teacher will need to demonstrate that their practice is consistent with the definitions set out in Part 1 (Teaching) and Part 2 (Personal & Professional Conduct).

2. SCOPE OF THIS POLICY

2.1 To whom this applies

The policy applies to all the Headteachers and teachers employed by the LIFE Education Trust and working within its schools, except teachers on contracts of less than one term, those undergoing induction (i.e. newly qualified teachers) and those who are the subject of capability procedures.

The Appraisal process will not be used as a substitute for the informal stage of the capability procedure. Capability is subject to a separate policy and procedure.

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

Where teachers are eligible for pay progression, the assessment of performance throughout the cycle, against the performance criteria specified in the statement and the Teachers' Standards, will be the basis on which the recommendation is made by the appraiser.

A teacher who has not been at the school for all of the 3 year assessment period, should provide their performance management review statement(s) from their previous employment with their application.

Where staff are newly appointed to the school it is advised that they bring relevant evidence from their previous employment to support the appraisal review.

2.2 Links to school improvement, school self-evaluation and school development

The appraisal process will be a source of information for school self-evaluation and the wider school-improvement process.

Appraisal objectives will be aligned with the school's priorities and plans, as well as reflecting teacher's professional aspirations.

3. ROLES AND RESPONSIBILITIES

The Trust Board is committed to ensuring consistency of treatment and fairness in the operation of the appraisal system.

To ensure this, the following provisions are made in relation to moderation, quality assurance and objective setting.

3.1 It is the responsibility of the Headteachers to:

- moderate the appraisal process and check documentation is consistent.
- check that the plans recorded in the statements of teachers at the school: is consistent between those who have similar experience and similar levels of responsibility complies with the school's appraisal policy, and the regulations and the requirements of equality legislation;
- delegate responsibility for oversight of the management of the appraisal process to a Senior member of staff;

3.2 It is the responsibility of all Appraisers to :

- Follow the school protocols for gathering evidence and completion of paperwork.
- Ensure that the following are completed by the deadline set:
 - i. Planning sheets
 - ii. Staff Appraisal sheets
 - iii. CPD planning sheet
 - iv. Pay Progression sheet

4. THE APPRAISAL CYCLE

4.1 The performance of teachers will be reviewed on an annual basis. Performance planning and reviews will be completed for all teachers by 31 October and for Headteachers by 31 December.

4.2 The appraisal cycle in LIFE Education Trust, therefore, will run from 1st November to 31st October for teachers, and from 1st January to 31st December for the Headteachers.

4.3 Teachers who are employed on a fixed-term contract of less than one year will be appraised 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.

4.4 Where a teacher starts their employment at the school part way through a cycle, the Headteacher or, in the case where the teacher is the Headteacher, the CEO of LIFE Education Trust shall determine the length of the first cycle for that teacher, with a view to bringing the cycle into line with that for other teachers at the school as soon as possible.

4.5 Where a teacher transfers to a new post within the school part way through a cycle, the Headteacher or, in the case where the teacher is the Headteacher, the CEO of LIFE Education Trust, shall determine whether the cycle shall begin again and whether to change the appraiser.

5. OBJECTIVE SETTING

5.1 The setting and agreement of objectives is fundamentally important to the effective operation of an appraisal system that aims to link individual performance to pay progression.

5.2 Objectives should be CSMART

- C = Challenging
- S = Specific
- M = Measurable

A = Achievable
R = Relevant
T = Timed

- 5.3 Objectives should also be fair and equitable when judged across employees with similar roles and responsibilities. However, appraisal objectives will normally become more challenging as a teacher progresses on the main pay scale.
- 5.4 On the grounds that emerging issues are unlikely to be known at the outset of an appraisal period, objectives may need to be adjusted throughout the appraisal period so that they remain relevant to the performance of the individual and to the priorities of the school.
- 5.5 The appraiser and appraisee will seek to agree the objectives, but where a joint determination cannot be made, the appraiser will make the determination.
- 5.6 At Schools within the LIFE Education Trust :
- all teachers, including the Headteacher, will have at least 3, but no more than 5 objectives;
 - teachers, including the Headteachers, will not necessarily all have the same number of objectives;
 - all teachers, including the Headteacher, will have a **student progress objective** linked to the School Development Plan achievement priorities;
 - all teachers, including the Headteacher, will have at least **one School Development Plan objective**, or whole school target
 - all teachers, including the Headteacher, will have a **wider professional effectiveness objective**.
 - Individual schools may specify exactly how these targets will be met.
- 5.7 All teachers will also be required to show evidence that they have met the Teachers' Standards, a teacher will need to demonstrate that their practice is consistent with all the aspects displayed in Part 1 (Teaching) and Part 2 (Personal & Professional Conduct). (See TEACHER STANDARDS TRACKER – APPRAISAL FORMS)
- 5.8 Objectives cannot cover the full range of a teacher's roles/responsibilities. Objectives will, therefore, focus on the priorities for an individual for the cycle. At the appraisal stage it will be assumed that those aspects of a teacher's roles/responsibilities not covered by the objectives, or any amendment to the statement that may have been during the cycle, have been carried out satisfactorily
- 5.9 Objectives will be set out in the appraisal documentation, along with details of any training and support which has been agreed. The documentation should also specify the evidence that will be collected to support the review of performance including details of the arrangements for task or classroom observation, where relevant.

6. MONITORING AND SUPPORTING APPRAISAL

Gathering the evidence

- 6.1 As part of the overall appraisal process, it will be critically important for all members of staff who are subject to the school's staff appraisal policy to be clear about the evidence that will be required by their appraiser to enable the appraiser to assess their performance and make a substantiated and evidence-based pay recommendation.
- 6.2 **Observations**
- i. Observations are a requirement of the appraisal process and are part of the measure used to judge performance.
 - ii. Any classroom or task observations will be carried out in accordance with each of the schools 'classroom and task observation protocol'. (SEE APPENDIX)

- iii. Classroom observation will be carried out by qualified teachers.
- iv. Usually 5 working days' notice of the date and time of the observation will be given and verbal feedback provided by the end of the next school day in a suitable private environment.
- v. Written feedback will be provided within 5 working days.
- vi. The appraisee has the right to append written comments to the feedback document.
- vii. For appraisal purposes, the Trust board is committed to ensuring that classroom and task 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.
- viii. Where evidence emerges about the appraisee's performance, which gives rise to concern during the cycle, additional observations may be arranged during the cycle.
- ix. The 3 hours statutory limit on classroom observations for appraisal has been removed. It may be necessary to collect additional evidence to help inform the evaluation of teaching standards and school improvement strategies. This additional evidence may include learning walks, task observation, reviews of assessment results and lesson planning records. It will not always be practicable to provide advance notice of these additional monitoring activities.
- x. Classroom observations now do not carry a grade.

6.3 Training and Support

1. Schools continuing professional development (CPD) programme will be partially informed by the training and development needs identified in the training annex of the appraisees' planning and review statements.
2. The LIFE Education Trust and its Local Governing Bodies will ensure in the budget planning that, as far as possible, appropriate resources are made available for any training and support agreed for those appraised.
3. With regard to the provision of CPD in the case of competing demands on the school budget, a decision on relative priority will be taken with regard to the extent to which: (a) the CPD identified is essential for an appraisee to meet their objectives; and (b) the extent to which the training and support will help the school to achieve its priorities. Teachers will be responsible for highlighting their training needs to the appraiser.

7 PAY PROGRESSION LINKED TO PERFORMANCE

- 7.1 The Remuneration Committee of the LIFE Education Trust 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 ranges.
- 7.2 All pay recommendations should be clearly attributable to the performance of an employee.
- 7.3 Judgements relating to performance should be supported by evidence, agreed at the beginning of the appraisal cycle. The evidence required for eligibility for pay progression is outlined under 7.6 below.
- 7.4 The Appraisal Review Statement will include a pay recommendation which will be made by:
 - The Appraisal reviewer for Main Pay Range and Upper Pay Range teachers and support staff
 - The Headteacher for Leadership Range teachers
 - The Headteachers' Performance Management Review Panel for the Headteacher (Where the Headteacher also fulfils a post at trust level (e.g. CEO or Director) then the Review Panel will consider performance in respect of both roles).

7.5 Decisions on performance pay progression will be based on an assessment of the overall performance of the teacher.

A teacher will be eligible for annual performance pay progression where they:

- 1) have been assessed as meeting all of the teaching standards, throughout the assessment period;
- 2) have had their teaching assessed as at least good overall during the assessment period;
- 2a) Upper Pay Range teachers will be expected to demonstrate increasing levels of outstanding teaching overall
- 2b) Lead Practitioners will be expected to demonstrate outstanding teaching overall
- 3) have been assessed as meeting the requirements of their job description/job role;
- 4) meet their individual performance management objectives;
- 5) have demonstrated a personal responsibility for identifying and meeting their CPD needs.

Consideration will be given where factors beyond the teacher's control have impacted on their ability to meet objectives;

7.6 Evidence needed for pay progression (the portfolio)

Teachers seeking pay progression will be required to compile a portfolio of evidence

The evidence which will be considered in assessing performance **must** include:

- pupil progress data;
- quality of teaching against the Teaching Standards, including observed practice;
- self-assessment of progress made against the teaching standards;
- performance management (self review) statements;
- CPD records

In addition, further evidence such as the following may be supplied:

- task observations
- reviews of assessment results
- reviews of lesson planning records
- internal tracking
- moderation within and across schools
- students' Voice
- parents' views
- learning walks
- action research projects

And in the case of Upper Pay Range teacher and Lead Practitioners, evidence of their contribution beyond their own classroom and their impact on the wider school.

This portfolio of evidence should be collated by the appraisee prior to the appraisal review meeting

Where a teacher has been absent for some or all of the assessment period, an assessment will be based on performance during any periods of attendance and/or prior performance.

A teacher who has not been at the school for all of the 3 year assessment period, should provide their performance management review statement(s) from their previous employment with their application.

Pay recommendation

7.7 It is imperative that the **Pay Progression Form** be completed by the appraiser, concluding with pay recommendation for that member of staff. These signed forms should be forwarded to the Headteacher by 31 October.

- 7.8 The Remuneration Committee must decide how pay progression will be determined, subject to the following:
- i. The decision, whether or not to award pay progression, must be related to a teacher's performance.
 - ii. A pay recommendation must be made in writing as part of a teacher's annual appraisal report.
 - iii. A decision may be made not to award pay progression, whether or not the teacher is subject to capability proceedings.
 - iv. In the majority of cases an indication of pay progression will be made at the end of the review meeting.
- 7.9 Where teachers are eligible for pay progression, the recommendation made by the appraiser will be based on an assessment of performance against agreed performance objectives. This decision will be based on the statutory criteria and guidance set out in the STPCD and the relevant teacher standards.

Applications to be paid on the Upper Pay Range

- 7.10 Any qualified teacher on the Main Pay Range may apply to be paid on the Upper Pay Range once per year. It is the responsibility of the teacher to decide whether or not they wish to submit an application. Applications must:
- be made on the appropriate application and submitted to the Headteacher;
 - be submitted by 31st October in each year (consideration will be given to accepting late applications where individual circumstances e.g. absence prevent this deadline being met).

If a teacher is simultaneously employed at another school(s), they may submit separate applications if they wish to apply to be paid on the Upper Pay Range in that school or schools. This school will not be bound by any pay decision made by another school.

The Headteacher will assess applications from teachers to be paid on the Upper Pay Range in accordance with this policy and will make a recommendation to the Pay & Personnel Committee on whether the teacher should progress to the Upper Pay Range.

The Criteria

7.11 The Criteria

An application will be successful, if the Headteacher and the Trust Remuneration Committee are satisfied that:

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

In trust schools, this means that the teacher has consistently

- demonstrated that they meet all teaching standards, both in terms of teaching and personal and professional conduct, over a sustained period;
- been assessed as meeting their performance management objectives over a sustained period;

and in addition that;

- teaching has been rated as good overall, with some outstanding, over a sustained period;
- the teacher has demonstrated over a sustained period an ability to support some pupils to exceed expected levels of progress/achievement;
- the teacher has consistently taken responsibility for identifying and meeting their own professional development needs and used their learning to improve their own practice and pupils' learning;
- the teacher has demonstrated that they have made an impact on the school beyond their own class/group(s) over a sustained period. This may include

- demonstrating an ability to coach, mentor, advise and demonstrate best practice to, other teachers to enable them to improve their teaching practice;
- contributing to policy and practice which has improved teaching and learning across the school;
- making a significant contribution to the development of students' personal, spiritual, moral, social and cultural development through involvement in extra-curricular activities

Sustained means maintained continuously over a period of at least 2 school years (a year being defined as at least 26 weeks work in any academic year). It is normally expected that this will include at least one year at schools within the trust, although discretion will be exercised where there is clear and compelling evidence of consistent performance against the criteria at the teacher's previous school.

Only 2 years' worth of evidence will be required from teachers who are on the equivalent of old points M4, M5 or M6 on 1 September 2013, so that they are not disadvantaged in comparison to the previous Threshold criteria.

The trust will exercise its discretion to consider performance over a lesser period where a teacher has been absent for some of the relevant period.

The Trust board would expect staff to have taught for a minimum of five years before applying for UPR1 in order to show the expected progress and competences although in exceptional circumstances applications may be considered at an earlier stage.

8 REVIEWING PROGRESS

- 8.1 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 challenging objective, even if the performance criteria have not been met in full, will be assessed favourably.
- 8.2 The appraisal cycle is annual, but in exceptional cases 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.
- 8.3 Mid-year reviews are scheduled into the school calendar in order to discuss progress made towards objectives and alert either appraiser or appraisee to any support that may be deemed necessary. These must be completed at the scheduled time.

9 APPEALS

- 9.1 At specified points in the appraisal process, such as when setting targets, reviewing progress at mid-year or during the final review, all teachers and Headteachers have a right of appeal to the Headteacher against any of the entries in their review statements. In the case of the Headteacher, the appeal should be made to the Trust board. Where an appraisee wishes to appeal on the basis of more than one entry, this would constitute one appeal hearing.
- 9.2 As stated in 2.2 of the Pay Policy, pay recommendations will be contained within Appraisal Review Statements and these will be discussed with employees at the review meeting. Where an employee has concerns about the pay recommendation which cannot be resolved at the review meeting, they should include these on the review statement for consideration by those responsible for making pay decisions.
- 9.3 As stated in 21.2 of the Pay Policy, an employee may make a formal appeal against a decision on pay, which must be submitted in writing within 10 working days of receipt of written notification of that decision.

The grounds of appeals are that the decision maker(s):

- incorrectly applied the provisions of the Teachers' Pay & Conditions Document / national / local terms and conditions
- failed to have proper regard for statutory guidance;
- failed to take proper account of relevant evidence and/or took account of irrelevant or inaccurate evidence;
- showed biased; or otherwise unlawfully discriminated against the employee.

10 CONFIDENTIALITY

- 10.1 The whole appraisal process and the statements generated under it, in particular, will be treated with strict confidentiality at all times.
- 10.2 Appraisal planning and review statements will be retained for a minimum period of six years.

11 APPOINTMENT OF APPRAISERS

11.1 Appointment of Governors and Directors

The Trust board is the appraiser for the Headteacher and to discharge this responsibility on its behalf may appoint two or three members of the Review Panel drawn from the Trust Board and the relevant Local Governing Body, and an external advisor.

Where the Headteacher is of the opinion that any of the Review panel members appointed by the Trust Board is unsuitable for professional reasons, s/he may submit a written request to the Trust Board for that person to be replaced, stating those reasons.

11.2 Appointment of Appraisers For Teachers

All appraisers will be provided with training to enable them to discharge all aspects of their role appropriately and effectively, including the conduct of appraisal reviews, objective setting, classroom observation, and providing quality feedback to appraisees.

- 11.3 The Headteacher will be the appraiser for those teachers s/he directly line manages and will delegate the role of appraiser, in its entirety, to the relevant line managers for some or all other teachers.
- 11.4
- i. Line managers will be the appraisers for all those teachers they line manage.
 - ii. Here a teacher has more than one line manager, the Headteacher will determine which line manager will be best placed to manage and review the teacher's performance.
- 11.5 Where a teacher is of the opinion that the person to whom the Headteacher has delegated the appraiser's duties is unsuitable for professional reasons, s/he may submit a written request to the Headteacher for that appraiser to be replaced, stating those reasons.
- 11.6 Where it becomes apparent that the appraiser will be absent for the majority of the cycle or is unsuitable for professional reasons, the Headteacher may perform the duties himself/herself or delegate them in their entirety 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.
- 11.7 An appraisal cycle will not begin again in the event of the appraiser being changed.
- 11.8 All line managers to whom the Headteacher has delegated the role of appraiser will receive appropriate preparation and training for that role.

12 TEACHERS, EXPERIENCING DIFFICULTIES

- 12.1 When a member of staff is experiencing difficulties, support and guidance will be provided through the appraisal process. Where it is clear that a member of staff's personal circumstances are leading to difficulties at work, appropriate support should be offered at the earliest opportunity.
- 12.2 If long-term sickness absence appears to have been triggered by the commencement of monitoring or a formal capability procedure, the case will be dealt with in accordance with the school's absence policy and will be referred to the occupational health service who will assess the member of staff's health and fitness for continued employment and whether continuing with monitoring or formal procedures is deemed to be appropriate.
- 12.3 If the appraiser identifies through the appraisal process or through other sources of information, parental complaints for example, that the difficulties experienced by a teacher are such that, if not rectified could lead to the capability procedure, the appraiser will, as part of the appraisal process, meet the member of staff to:
- i. give clear written feedback to the teacher about the nature and seriousness of the concerns;
 - ii. give the teacher the opportunity to comment on and discuss the concerns;
 - iii. give the teacher at least 5 working days' notice that a meeting will be held to discuss targets for improvement alongside a programme of support and remind the teacher that they have the right to be accompanied by a work colleague or trade union representative at any future meetings where capability will be discussed;
 - iv. agree and establish, in consultation with the teacher, an action plan with support that will help to remedy specific concerns;
 - v. make clear, how progress will be monitored and when it will be reviewed;
 - vi. explain the implications and process if no, or insufficient, improvement is made.
- 12.4 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. 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.
- 12.5 If sufficient progress is made, the teacher should be informed of this at a formal meeting and the appraisal process will continue as normal.
- 12.6 If no, or insufficient improvement has been made, the teacher will be invited to a transition meeting to determine whether formal capability proceedings will be invoked.

Transition to Capability

- 12.7 Performance concerns should be dealt with through the staff appraisal policy but if progress towards addressing performance concerns is insufficient or the concerns are sufficiently serious, a 'transition meeting' should be held; the expectation is that this meeting will reduce the likelihood of invoking the capability procedure or triggering a prolonged period of sickness absence.
- 12.8 In this event, further support should be granted through the appraisal procedure or, alternatively, the employee will be advised to consider the relative merits of resigning their post before the formal capability procedure is invoked.

13 MONITORING AND EVALUATION

- 13.1 The Trust Board Remuneration Committee will monitor the operation and outcomes of appraisal arrangements.

- 13.2 The Headteacher will report findings from the Appraisal process to the Remuneration committee.
- 13.3 The Headteacher will also report on whether there have been any appeals or representations on an individual or collective basis on the grounds of alleged discrimination under any of the categories above.

14 REVIEW OF THE POLICY

The Trust Board Remuneration Committee will review the appraisal policy every 3 years.

The Remuneration Committee will take account of the Headteacher's recommendations in its review of the appraisal policy. The policy will be revised as required to ensure that it is always up to date.

The Trust Board will consult on any revisions to the policy with the recognised trade unions.

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 introduction to the school.