



Education  
Partnership  
Trust

Creating outstanding schools  
which transform learning, lives  
and communities

# PERFORMANCE APPRAISAL POLICY (TEACHING)

**DOCUMENT CONTROL**

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## 1.0 STATEMENT OF INTENT

- 1.1 Education Partnership Trust is committed to performance management as a holistic organisational style of management and process which contributes to the effective management and development of individuals and teams within the Education Partnership Trust. Performance Management drives forward improvement and the provision of outstanding and inclusive education for children and young people. It is a focussed process linking to the Trust Vision and Strategy and Academy Strategy and Improvement plans.
- 1.2 Education Partnership Trust believes that performance management as an enabling and coaching process which supports individuals to develop and achieve their potential, celebrate success and fosters professional dialogue between colleagues. It brings with it a commitment to an entitlement to professional development and training which is delivered through a variety of means, enabling individuals and teams to work effectively and reach their potential.
- 1.3 Education Partnership Trust believes that performance management is a strategy which relates to every activity of the organisation and is set in the context of its human resources policies, culture, ethos and communications. The Performance Management process will consider the well-being of staff and use the process to ensure that EPT is exercising its duty of care to all staff.
- 1.4 It is a process through which excellent practice can be identified and, where necessary, focussed support and guidance provided with an aim of enabling an individual to perform effectively. It also provides a platform to move to formal capability procedures if necessary.

## 2.0 PURPOSE OF THE TEACHER PERFORMANCE APPRAISAL POLICY

- 2.1 This policy sets out a framework for a clear and consistent assessment of the performance of teachers and for supporting their development within the context of the Academy's plan for improving educational provision and performance and the standards expected of teachers.
- 2.2 The Appraisal system is intended to be a supportive and developmental process designed to ensure that teachers:
  - have the skills and support they need to carry out their role effectively;
  - can continue to improve their professional practice and to develop and progress as each Academy will set the time for appraisal review and planning meetings during directed time.
- 2.3 This policy is also in line with Appraisal Regulations 2012; School Teachers' Pay and Conditions Document and the National Conditions of Service for School Teachers in England and Wales ('the Burgundy Book'); and relevant local collective agreements on conditions of service.

## 3.0 SCOPE

- 3.1 This policy applies to the Head teacher and to all qualified Teachers employed by the Education Partnership Trust, except those on contracts of less than one term and those undergoing induction (i.e. NQTs) or Teachers in capability procedures.

## 4.0 DEFINITIONS

- 4.1 **Trust** – Education Partnership Trust.
- 4.2 **Performance Management** – the mechanism by which the Head teacher/reviewer evaluates and ensures that goals and objectives are consistently being met by Teachers in an effective and efficient manner
- 4.3 **Appraisal** – annual formal review and assessment of Teachers' overall performance as part of the performance management process.
- 4.4 **Reviewee** – employee whose performance is being reviewed.
- 4.5 **Reviewer** – the nominated person(s) responsible for carrying out an individual's performance management and appraisal.
- 4.6 **Team** – a group of colleagues working in a particular department, subject area, key stage or aspect of the school.
- 4.7 **STPCD** – School Teachers' Pay and Conditions Document.
- 4.8 **Observation** – Lesson observation for the purposes of performance management and professional development.

## 5.0 ROLES AND RESPONSIBILITIES

### Governors – the role of the Governing Body is to:

- adopt a written Appraisal Policy for the school
- ensure that all teaching staff have effective performance management with an appraisal on an annual basis;
- ensure that training and development needs are identified and met within the resources available;
- ensure that there are opportunities for Teachers to share their views and ideas and provide feedback;
- be aware of the outcomes of appraisals and any impact on pay progression;

### Head teacher – the role of the Head teacher is to:

- ensure the operational delivery of effective performance management and appraisals in the school;
- ensure that all Teachers feel valued and that the contribution they make is recognised as important in the success of the school;
- undertake effective performance management and appraisals in the school; ensure that procedures are in place to monitor and evaluate the effectiveness of performance management and appraisals and the delivery and impact of training, development and support provided for the school workforce;

- provide information to the Governing Body, including an annual written report, to enable it to take a strategic view of appraisal in the school and any pay progression;
- Quality assure the appraisal policy with support from a designated officer, if required.

#### **Reviewer – the role of the reviewer is to:**

- undertake effective performance management and appraisals for identified Teachers which will enable them to assess whether or not a reviewe has made good progress towards meeting his/her objectives;
- ensure that they have appropriate and current knowledge of the relevant statutory requirements, teacher standards, frameworks and other documentation;
- pass the signed review statement to the Headteacher to enable him/her to monitor appraisal in the school and determine whether teacher standards are met for quality assurance;
- provide recommendations regarding appropriate and relevant individual training and development needs to the nominated person responsible for continuous professional development;
- make a recommendation to the Headteacher/Governing Body regarding pay progression;
- ensure (if appointed mid-cycle) that, as the reviewer, they are fully aware of the content of the reviewe's planning and review statement, any actions that have been taken to implement it and all relevant evidence and documentation as part of the performance management process.

#### **Reviewee – the role of the reviewee is to:**

- be clear about his/her role and responsibilities and to seek clarification if necessary;
- have the skills and competencies to perform his/her job now and a willingness to develop those required in the future;
- actively prepare for, and participate in, discussions about his/her progress, performance as part of performance management and appraisal processes and any applicable threshold application.

## **6.0 THE APPRAISAL CYCLE**

- 6.1 The appraisal cycle will be for 12 months and will begin on 1 September; the review of the previous year's cycle must be completed by 31 October for teachers and by 31 December for Head teachers. The cycle will begin with a Planning Meeting and will end with an Appraisal Review Meeting. Mid-year review meetings may also be held as part of good practice in performance management.
- 6.2 Teachers who are employed on a fixed term contract of less than one year will have their performance managed in accordance with the principles underpinning this policy. The length of the appraisal period will be determined by the duration of their contract.
- 6.3 There is flexibility to have a longer or shorter appraisal period when Teachers begin or end employment with a school or when a teacher changes post within the Trust.
- 6.4 Where a Teacher starts their employment at the school part-way through an annual performance management cycle, the Headteacher or, in the case where the employee is the Headteacher, the Governing Body shall determine the length of the first cycle for that Teacher, with a view to bringing his/her performance management into line with the cycle for other Teachers as soon as possible.

- 6.5 Where a Teacher transfers to a new post within the school part-way through a performance management cycle, the Headteacher or, in the case where the employee is the Headteacher, the Governing Body shall determine whether the cycle shall begin again and whether to change the appraiser.

## 7.0 APPOINTING APPRAISERS

- 7.1 All appraisers of Teachers, other than those appraising Head teachers, will be qualified, suitably trained Teachers with current or recent teaching experience.

### HEADTEACHER

- 7.2 The Head teacher will be appraised by the Trust, supported by the Chair of Governors and supported by a suitably skilled and/or experienced external advisor, including setting of objectives.

### TEACHERS

- 7.3 The decision on an appraiser to be allocated is for the head teacher. Should a teacher have concerns surrounding the allocated appraiser, their concerns should be discussed with the head teacher informally, and where possible an alternative appraiser will be offered.
- 7.4 Where it becomes apparent that the appraiser appointed by the Head teacher will be absent for the majority of the performance management cycle, the Headteacher may perform those duties herself/himself or delegate those duties to another appraiser for the duration of that absence.
- 7.5 If the Headteacher appoints an appraiser who is not the Teacher's line manager, the appraiser to whom s/he delegates those duties will have an appropriate position in the staffing structure, together with the necessary background knowledge, skills and training to undertake the role.
- 7.6 Where a Teacher is experiencing difficulties and the Headteacher is not the appraiser, the Headteacher may undertake the role of appraiser. See also section on Teachers Experiencing Difficulties.

## 8.0 QUALITY ASSURANCE

- 8.1 Where the Headteacher is not the reviewer for all Teachers, s/he will moderate the planning statements to check that the plans recorded in the statements:
- are consistent between those who have similar experience and similar levels of responsibility;
  - comply with the Appraisal Policy, the requirements of equality legislation and the Teacher Regulations.

## 9.0 SETTING OBJECTIVES

- 9.1 The Head teacher's objectives will be set by the Trust after consultation with Chair of Governors and the Headteacher.
- 9.2 Three objectives will be set before, or as soon as practicable after, the start of each appraisal period. The objectives set will be linked to the relevant teacher standards (equal weighting of all the standards, and will be SMART - Specific, Measurable, Achievable, Realistic and Time-bound).

- 9.3 In setting the objectives, appraisers will have regard to the appraisee's role and levels of experience. In addition, they will be aware of what can reasonably be expected in the context of the roles, responsibilities and consistent with the school's strategy for achieving a work/life balance for all employees. Appraisees may, at any point, append their comments alongside their objectives.
- 9.4 The appraiser and appraisee will seek to agree the objectives. Objectives may be revised if circumstances change. The school operates a system of quality assurance to ensure that all appraisers are working to the same standards. Objectives will be quality assured across the school 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. This option should only be used in exceptional circumstances.
- 9.5 The agreed objectives will contain a description of what success may look like. Where use of numerical targets is appropriate, it will be recognised that factors outside a Teachers' control may significantly affect success. Numerical objectives will not be imposed.
- 9.6 Setting more than three objectives, or, for example, using sub-targets, can lead to Teachers experiencing unreasonable workload and pressure, making the objectives more difficult to achieve. Therefore, other than in exceptional circumstances, no Teacher will be given more than three objectives.
- 9.7 The objectives set for each Teacher will, if achieved, contribute to the school's plans for improving the school's educational provision and performance and improving the education of pupils at that school. The objectives will take into account any relevant pay progression criteria and the professional aspirations of the Teacher.
- 9.8 The appraiser will take into account the effects of an individual's circumstances, including any disability, when agreeing objectives. For example, this might include a reasonable adjustment to allow an individual slightly longer to complete a task than might otherwise be the case. When an employee returns from a period of extended absence, objectives should be adjusted to allow them to readjust to their working environment.
- 9.9 Teachers will be assessed against the appropriate set of standards contained in the document "Teachers' Standards" published in July 2011. Assessment against the Teachers' Standards will start from the premise that all teachers are meeting the Teachers' Standards and they will be assessed as meeting the standards unless clear written evidence to the contrary is provided.

## **10.0 PAY PROGRESSION**

- 10.1 Pay progression will be made with reference to the Teacher's appraisal reports and the pay recommendations they contain. It will be possible for a "no progression" determination to be made without recourse to the capability procedure.
- 10.2 All teachers can expect to receive regular, constructive feedback on their performance during the appraisal period. The annual appraisal should recognise their strengths and any concerns raised during the appraisal period should also be discussed. Therefore, the employee should have already been made aware from discussions during the appraisal period if concerns are such that their appraisal may result in a "no progression" determination.
- 10.3 The recommendation made by the appraiser will be based on the assessment of the Teacher's performance against the agreed objectives. Good progress towards the achievement of a challenging objective, even if the performance criteria have not been met in full, will be assessed favourably. The



decision made by the relevant decision-making body will be based on the statutory criteria and guidance set out in the STPCD and the relevant Teachers' Standards.

- 10.4 The Governing Body has agreed the Pay Policy of the school and has considered the implications of the appraisal policy with respect to the arrangements relating to Teachers' pay in accordance with the STPCD. The Governing Body will ensure that decisions on pay progression are made by 31 December for Headteachers and by the end of November for other Teachers.

## 11.0 REVIEWING PERFORMANCE

### OBSERVATION

- 11.1 The effective and efficient operation of the performance management process requires lesson observation to be a confidential process of constructive engagement within an atmosphere of development, support and co-operation. The Headteacher will be required to provide anonymised information of the outcomes of the most recent performance management and appraisal of all Teachers to the Governing Body. Steps should be taken to ensure that no individual Teacher is identified so that confidential information is not revealed.
- 11.2 Accordingly, observations will be carried out in a supportive fashion, with professionalism, integrity and courtesy, will be evaluated objectively and reported accurately and fairly and will take account of particular circumstances which may affect performance on the day.
- 11.3 In keeping with the commitment to supportive and developmental classroom observation, those being observed will be notified at least 5 working days in advance, with an agreed focus, if possible. Observations will normally be scheduled at the first appraisal meeting.
- 11.4 Verbal feedback should be provided by at least by the end of the next school day and written feedback within 5 working days, unless circumstances make this impossible.
- 11.5 Classroom observation will be carried out by qualified Teachers. In addition, classroom observation will only be undertaken by those who have had adequate preparation, training and have 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.
- 11.6 Under normal circumstances, there should be no more than three lesson observations for a teacher in an academic year for all purposes, unless there are exceptional and justified reasons, such as capability issues or following an individual request and agreement. Individual classroom observations for the purposes of performance management will normally also be limited to a maximum of 60 minutes in length and there is no requirement to use all of the three hours. The amount of observation for each teacher should reflect and be proportionate to the needs of the individual. For the purpose of professional development, feedback about lesson observations should be developmental.
- 11.7 Information gathered during the observation will be used, as appropriate, for a variety of purposes, including informing 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 employees. The school will use the findings of each observation, including appraisal observations, for other management requirements (for example subject area reviews), thereby seeking to minimise the total number of occasions on which Teachers are observed.

Those involved in the process will:

- carry out the role with professionalism, integrity and courtesy;
- evaluate objectively;
- report accurately and fairly;
- respect the confidentiality of the information gained; and
- ensure that observations are not excessive but are reasonable and proportionate.

11.8 Judgments will be properly rooted in evidence. As a teacher moves up the main pay range, this evidence could include:

- an increasing positive impact on pupil progress;
- an increasing impact on wider outcomes for pupils;
- improvements in specific elements of practice identified to the teacher, e.g. behaviour management or lesson planning;
- an increasing contribution to the work of the school;
- an increasing impact on the effectiveness of staff and colleagues.

## 12.0 DEVELOPMENT AND SUPPORT

12.1 Appraisal is a supportive process which will be used to inform continuing professional development plans for individual teachers and for groups of teachers.

12.2 Education Partnership Trust wishes to encourage a culture where teachers take responsibility for improving and developing their teaching through appropriate professional development. The appraisal documentation used by the Academy encourages the identification of training and professional development needs and provides a mechanism for planning access to provision.

12.3 Professional development should be linked to the Academy improvement priorities and the developmental and aspirational priorities of individual teachers.

12.4 During the review meeting, where it has not been possible for Teachers to fully meet their performance criteria because the professional development recorded in the planning statement has not been provided, this must be taken into account and given due consideration in making any judgments and assessments.

## 13.0 ANNUAL ASSESSMENT

13.1 Each Teacher's performance will be formally assessed in respect of each appraisal period.

13.2 The Teacher will receive a written appraisal report as soon as practicable following the end of each appraisal period and will have the opportunity to comment on it. The appraisal report will include:

- details and evaluation of the Teacher's objectives for the performance management and appraisal period in question;
- an assessment of the Teacher's performance of their role and responsibilities against their objectives, and against the relevant Teachers' Standards;

- an assessment of the Teacher's training and development needs and identification of any action that should be taken to address them;
  - a recommendation on pay (N.B. – pay recommendations need to be made by 31 December for Head teachers and by 31 October for other Teachers);
  - a space for the Teacher's own comments.
- 13.3 A review meeting will take place to discuss the content of the report and any further action required and to inform objective setting for the next performance management cycle. In some circumstances, an interim review meeting may be appropriate.
- 13.4 All teachers' performance will be formally assessed in respect of each appraisal period. This assessment is at the end of the annual appraisal cycle, but performance and development priorities will be reviewed and addressed on a regular basis throughout the year.
- 13.5 This will be through on-going professional dialogue and an opportunity will be made available for a mid-year review if requested.
- 13.6 The assessment of performance and of training and development needs will inform the planning process for the following appraisal period.
- 13.7 The Headteacher will provide the Governing Body with a written report on appraisal annually. The report will not contain any information which would enable any individual to be identified. The report will include:
- the operation of the Appraisal Policy;
  - the effectiveness of the school's performance management and appraisal procedures;
  - reviewees' training and development needs;
  - information regarding pay progression of Teachers.
- 13.8 In the case where, as a result of the quality assurance process, the head teacher's advice may not be in line with the appraiser's pay recommendation, a meeting will take place with the appraisee and appraiser prior to the pay committee meeting.

#### **14.0 TEACHERS EXPERIENCING DIFFICULTIES**

- 14.1 When dealing with a Teacher experiencing difficulties, the objective is to provide support and guidance through the appraisal process in such a way that the Teacher's performance improves and the problem is, therefore, resolved.
- 14.2 Where it is apparent that a Teacher's personal circumstances are leading to difficulties at school, support will be offered as soon as possible, without waiting for the formal annual appraisal assessment.
- 14.3 If an appraiser identifies through the performance management process, or via other sources of information, for example formal written parental complaints, that the difficulties experienced by a Teacher are such that, if not rectified, could lead to capability procedures, the appraiser, the Headteacher or a member of the leadership team will, as part of the performance management process, meet the Teacher to:

- give clear written feedback to the Teacher about the nature and seriousness of the concerns;
- give the Teacher the opportunity to comment on and discuss the concerns;
- 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 inform the Teacher that he/she has the right to be accompanied/assisted by a representative of ~~an~~ a recognised trade union or work place colleague at this meeting, and at any future meetings where capability will be discussed;
- in consultation with the Teacher at the above meeting, establish an action plan with support (for example coaching, training, in-class support, mentoring, structured observations, visits to other classes or schools or discussions with advisory Teachers), that will help address those specific concerns;
- make clear how progress will be monitored and when it will be reviewed;
- explain the implications and process if no, or insufficient, improvement is made or if appropriate improvement has not been sustained.

14.4 The Teacher's progress will continue to be monitored as part of the performance management and appraisal process and a reasonable time given for the Teacher's performance to improve. This will depend upon the circumstances, with appropriate support as agreed in the Action Plan, in order that the aim of recovering and improving performance can be achieved. 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.

14.5 If sufficient progress is made, such that the Teacher is performing at a level that indicates there is no longer a possibility of capability procedures being invoked, the Teacher should be informed of this at a formal meeting with the appraiser or Headteacher. Following this meeting, the appraisal process will continue as normal.

14.6 If no, or insufficient, improvement has been made over this period or if appropriate improvement has not been sustained, the Teacher will be invited to a capability pre policy support meeting and provided with one final opportunity to improve before the Headteacher makes a determination whether capability proceedings need to be commenced or the appraisal process remains in place. The Teacher may be assisted/ accompanied by a trade union representative or work colleague and will have at least 5 working days' notice of the meeting.

## 15.0 SICKNESS

15.1 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 Sickness Absence Management Policy and the employee will normally be referred to the occupational health service to assess the individual's health and fitness for continued employment, any support or adjustments and the appropriateness or otherwise of continuing with monitoring or formal procedures. In some cases, it may be appropriate for formal procedures to continue during a period of sickness absence. However, the views of the occupational health physician will always be taken into consideration before a decision is reached.

## 16.0 GRIEVANCES

- 16.1 Where an employee raises a grievance during the performance management/appraisal or capability process, the process may be temporarily suspended in order to deal with the grievance. Where the grievance and performance management/appraisal or capability cases are related, it may be appropriate to deal with both issues concurrently.

## 17.0 CONFIDENTIALITY & PROFESSIONAL RELATIONSHIPS

- 17.1 The appraisal and capability processes will be treated with confidentiality. Only the appraiser's line manager or, where s/he had more than one, each of her/his line managers will be provided with access to the appraisee's plan recorded in her/his statements. This will be done upon request and only where this is necessary to enable the line manager to discharge her/his line management responsibilities.
- 17.2 The process of gathering evidence for performance management and appraisal review will not compromise normal professional relationships between Teachers. The Governing Body recognises that the reviewer will consult with, and seek to secure the agreement of, the reviewee before seeking information from other colleagues about the work of the reviewee.
- 17.3 However, the desire for confidentiality does not override the need for the Headteacher and Governing Body to quality-assure the operation and effectiveness of the performance management/appraisal system. The Headteacher ~~or~~ and designated officer might, for example, review all Teachers' objectives and written appraisal records personally, to check consistency of approach and expectation between different appraisers. The Headteacher might also wish to be aware of any pay recommendations that have been made.

## 18.0 APPEAL PROCESS

- 18.1 Where a Teacher is dissatisfied with the Appraisal Process or the Appraisal Report, the expectation is that they should first seek to resolve their concerns with the Appraising Manager directly within 10 days of receiving their Appraisal Report.
- 18.2 Should it prove impossible to resolve matters through this route, the Appraisee may Appeal in writing to the Clerk of the Local Governing Body within 10 days of the meeting with their Appraising Manager with respect to their concerns.
- 18.3 The Clerk to the Local Governing Body will arrange for a panel of Governors to hear the Appeal. Staff Governors should not be asked to serve on the panel.
- 18.4 The Appeal Hearing will be arranged as quickly as possible and within 20 working days of receipt of the teacher's written appeal.
- 18.5 The Teacher has the right to representation at this hearing by a trade union representative from a recognised trade union, or a work colleague.

## 19.0 MONITORING AND EVALUATION

- 19.1 The Governing Body and Headteacher will monitor the operation and effectiveness of the school's performance management and appraisal arrangements.
- 19.2 The Headteacher will provide the Governing Body with a written report on the operation of the school's appraisal and capability policies annually. The report will not identify any individual by name. The report will include an assessment of the impact of these policies in line with the Equality Act 2010 on:
- Race;
  - Sex;
  - Sexual Orientation;
  - Disability;
  - Religion and Beliefs;
  - Age;
  - Part-time Status;
  - Maternity and Pregnancy.
- 19.3 The Headteacher will report on whether there have been any appeals or representations on an individual or collective basis on the grounds of alleged discrimination.

## **20.0 RETENTION**

- 20.1 The Governing Body and Headteacher will ensure that all written appraisal records are retained in a secure place for six years and then destroyed.

## **21.0 FURTHER GUIDANCE**

- 21.1 Further advice and guidance regarding the application of this policy is available from the Headteacher or the Trust HR department.