

# THE SOCIETAS TRUST



## Teacher and Executive Leader Appraisal Policy

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N.B For the purposes of clarity, references to;

- Governing Board may mean Directors' Board
- Governors may mean Directors and/or Local Academy Representatives (In accordance with the relevant Scheme of Delegation of Authority).

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In this policy **text in bold** indicates statutory requirements contained in the Appraisal Regulations 2012 or the School Staffing Regulations.

# Teacher Appraisal Policy

## 1. Purpose

- 1.1 Revised appraisal arrangements came into force in September 2012. They are set out in the Education (School Teachers' Appraisal) (England) Regulations 2012 (the Appraisal Regulations) which replaced the Education (School Teacher Performance Management) (England) Regulations 2006 (the 2006 Regulations).
- 1.2 This policy sets out the framework for a clear and consistent assessment of the overall performance of teachers, including the CEO and other Executive Leaders and Head Teachers, and for supporting their development within the context of the Trust and Academy plans for improving educational provision and performance to enhance pupil achievement, and the standards expected of teachers.
- 1.3 Appraisal will be a supportive and developmental process designed to ensure that all relevant staff have the skills and support they need to carry out their role effectively. It will also help to ensure that teachers are able to continue to improve their professional practice through high quality CPD and to develop further as teachers.
- 1.4 This policy applies to the CEO and other Executive Leaders, Head Teachers, and to all teachers employed by The Societas Trust (the Trust), except those on contracts of less than one term, those undergoing induction (i.e. ECTs) and those who are subject to performance improvement procedures. The Appraisal process will not be used as a substitute for informal programmes of support or counselling which should precede the initiation of a formal performance improvement procedure.

## 2. The appraisal period

- 2.1 **The appraisal period will run for twelve months** normally from 1<sup>st</sup> October to 30th September.
- 2.2 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 period will be determined by the duration of their contract.
- 2.3 There is flexibility to have a longer or shorter appraisal period when teachers begin or end employment with the Trust.

## 3. Appointing appraisers

- 3.1 The Head Teacher will be appraised by the Local Governing Board and CEO, usually supported by a suitably skilled and experienced external adviser who has been appointed by the Local Governing Board for that purpose. For the CEO, the panel will normally comprise three directors. The CEO will appraise all other Executive Leaders working centrally.

- 3.2 The task of appraising the Head Teacher, including the setting of objectives, will be delegated to a sub-group consisting of normally three members of the Local Governing Board and the CEO. For the CEO, the panel will normally comprise three directors. The CEO will appraise all other Executive Leaders working centrally. Where a Head Teacher is of the opinion that any of the governors appointed by the local governing board is unsuitable to act as his/her appraiser, he/she may submit a written request to the CEO for that governor to be replaced, stating the reasons for the request.
- 3.3 The Head Teacher, after consultation, will decide who will appraise the other teachers. All appraisers of teachers other than Head Teachers will have appropriate, relevant and current teaching experience. All appraisers should have Qualified Teacher Status and the appraiser will receive sufficient and appropriate training before undertaking the role. The appraiser should have equivalent or greater level of responsibility than the teacher he/she is appraising, and normally have line management responsibility. The designated appraiser must conduct all aspects of the review, including pay recommendations of teachers who are eligible. Where it becomes apparent that the appraiser appointed by the Head Teacher will be absent for the majority of the appraisal cycle, the Head Teacher may perform those duties him/herself or delegate those duties to another teacher for the duration of the absence.
- 3.4 Where possible, alternative appraisers will be offered to teachers where there is a genuine and valid reason or the appointed appraiser is not available due to long term sickness. This will be confirmed with the appraisee at the beginning of the process. Wherever practicable, an appraiser should only have a maximum of four appraisees.

## **4. Setting objectives**

- 4.1 Objectives set will be Specific, Measurable, Achievable, Realistic and Time-bound and will be appropriate to the appraisee's role and level of experience. Common objectives may be agreed to support Trust/ Academy development plans.
- 4.2 The Head Teacher's objectives will be set by the Local Governing Board and CEO after consultation with the external adviser (if appointed) and the Head Teacher. For the CEO, the objectives will be set by the directors. The CEO will set the objectives for all other Executive Leaders working centrally.
- 4.3 Objectives for each teacher will be set before or as soon as practicable after, the start of each appraisal period. This will be quality assured by the Head Teacher
- 4.4 The appraiser and appraisee will seek to agree the objectives but where a joint determination cannot be made the appraiser will make the determination. The appraisee may request moderation and should this be unsuccessful then the appraisee will be given the opportunity to append comments alongside their objectives. Each academy must agree its own moderation process. Objectives may be revised by agreement if circumstances change.
- 4.5 The objectives set for the Head Teacher and each teacher will, if achieved, contribute to the Trust/Academy plan for improving educational provision and performance and improving the education of pupils, and take into account the professional aspirations of staff. No Head Teacher/teacher will be given more than three objectives: setting more than three objectives can cause increased workload and be inconsistent with the Trust's strategy for wellbeing and achieving work- life balance for all staff.
- 4.6 Before, or as soon as practicable after, the start of each appraisal period, each teacher will be informed of the standards against which that teacher's performance in that appraisal period will be assessed. Teachers' Standards (July 2011) provide the context in which, through

professional discussions, objectives are set, CPD needs identified, success criteria defined and the nature and extent of any required observations planned. The Teachers' Standards should not be used as a checklist but should inform the setting of objectives.

- 4.7 The agreed objectives will contain a description of what success may look like. Where use of numerical objectives is appropriate, these will be reasonable, in the circumstances in which the teacher works and it will be recognised that factors outside teachers' control may significantly affect success.

Setting more than three objectives, or for example using sub-objectives, can lead to Head Teachers experiencing unreasonable workload and pressure, making objectives more difficult to achieve. Therefore, other than in exceptional circumstances, no Head Teacher/teacher will be given more than three objectives.

- 4.8 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 staff return from a period of extended absence, objectives may be reviewed to allow them to readjust to their role and working environment.

## **5. Reviewing performance**

### **5.1 Observation**

- 5.1.1 The Trust believes that observation of classroom practice and other responsibilities is important to identify any particular strengths and areas for development they may have and of gaining useful information which can inform school improvement more generally. All observation will be carried out in a supportive fashion and follow the procedure as set out in [Appendix 1](#).

- 5.1.2 The amount and type of classroom observation will depend on the individual circumstances of the teacher and the overall needs of the academy. The total period for classroom observation arranged for appraisal purposes for any teacher will not exceed three hours per cycle having regard to the individual circumstances of the teacher. 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. Classroom observation will be carried out by those with QTS.

- 5.1.3 Teachers (including the Head Teacher) who have responsibilities outside the classroom should also expect to have their performance of those responsibilities observed.

- 5.1.4 In addition to formal observation for appraisal purposes, it is acknowledged that Head Teachers or other leaders with responsibility for teaching standards are required to evaluate the standards of teaching and to check that high standards of professional performance are established and maintained. Processes and procedures for this are part of a whole school improvement strategy separate and distinct from the appraisal process. However this does not prevent appraisal observations being used for multiple purposes by agreement in order to restrict the number of observations being carried out.

- 5.1.5 In the more general monitoring and evaluating of teaching standards concerns may be identified. Any concerns that may arise should be discussed with the teacher.

5.1.6 Written feedback must be provided within five working days by the person who has undertaken the observation who should also be the appraiser.

## **5.2 Development and support**

5.2.1 Appraisal is a supportive process which will be used to inform continuing professional development (CPD). The Trust wishes to encourage a culture in which all teachers take responsibility for improving their teaching through appropriate professional development. Professional development is an entitlement and will be linked to school improvement priorities and to the ongoing professional development needs and priorities of individual teachers.

5.2.2 Sufficient time, within directed hours, should be provided to enable the appraiser and appraisee to fulfill their statutory and contractual obligations.

5.2.3 The academy's CPD Plan will be informed by the training and development needs identified in appraisees' planning and review statements.

5.2.4 The Local Governing Board will ensure in the budget planning that, as far as possible, appropriate resources are made available in the academy budget for any development and support agreed for and with the appraisee at the planning and review meeting.

5.2.5 An account of the support and development needs of teachers in general, including the instances where it did not prove possible to provide any agreed CPD, will form a part of the Head Teacher's annual report to the Local Governing Board about the operation of the appraisal process in the academy.

5.2.6 Teachers should not be held accountable for failing to make good progress towards meeting their performance criteria where the support recorded in the planning statement has not been provided.

## **6. Feedback**

6.1 Teachers will receive constructive feedback on their progress towards the achievement of their appraisal objectives, e.g. following a lesson observation. Feedback should always be given in a supportive context highlighting particular areas of strength as well as any areas that need additional support in order to successfully meet their appraisal objectives. A written record of progress made should be kept of the date and key issues of any feedback and should form part of the appraisal documentation. Should either the appraiser or appraisee identify issues of concern an interim meeting may be called to discuss any support that is necessary to address the concerns.

## **7. Relationship to performance improvement**

- 7.1 Managers must not rely solely on the appraisal process as a trigger to consider a performance improvement procedure. Elsewhere this document has described the legitimate need for managers to have a wider knowledge of the quality of teaching within the Trust/academy. The appraisal process should inform that wider knowledge. There must be the recognition that poor performance issues can arise for a variety of reasons including being triggered by work related and non-work related factors. Once a decision has been made to proceed to performance improvement procedures the appraisal process is suspended.
- 7.2 Before embarking on a formal performance improvement procedure, the CEO, in consultation with the Chair of Governors (in the case of Head Teachers), or Head Teacher (in case of other teachers) must be able to evidence that every aspect of support through the appraisal process and all other avenues has been exhausted and has failed to achieve the required improvements. Where it proves to be necessary to begin a performance improvement procedure with a member of staff, subject to this procedure, a formal meeting should be held to bring the Appraisal process to an end and give notice of the initiation of the Capability (performance improvement) procedure.
- 7.3 Appraisal and Capability processes will be kept separate.

## **8. Annual assessment**

- 8.1 Each teacher's performance will be formally assessed in respect of each appraisal period. In assessing the performance of the Head Teacher, the Local Governing Board and CEO must consult the External Advisor (if appointed) and Head Teacher.
- 8.2 This assessment is the end point to the annual appraisal process, but performance and development priorities may need to be reviewed at an interim meeting. Priorities may need to be reviewed if an appraisee's circumstances or responsibilities change. In such cases a written addition to the planning statement should be made. The appraisee, as previously, should be given the opportunity to add any written comments.
- 8.3 The whole process will have regard to what can be reasonably expected given the desirability of the appraisee and appraiser being able to achieve a satisfactory balance between the time required to discharge their professional duties and the time required to pursue their personal interests outside work. Priorities may need to be reviewed if an appraisee's circumstances or responsibilities change. In such cases a written addition to the planning statement should be made. The appraisee, as previously, should be given the opportunity to add any written comments.
- 8.4 The teacher will receive as soon as practicable following the end of each appraisal period a written appraisal report. They will have the opportunity to comment in writing on report. Head Teachers and Teachers will receive their written appraisal reports by 31 October. The appraisal report will include:
- details of the teacher's objectives for the appraisal period in question;
  - an assessment of the teacher's performance of their role and responsibilities against their objectives and the relevant 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 where that is relevant. (*NB – Pay recommendations need to be made by 31 October*);
  - Local Governing Boards and Head Teachers will wish to consider how pay recommendations are related to the pay policy of the Trust (including the appropriate

progression and ranges on the leadership pay spine), mindful that recommendations are made by a range of appraisers and that the process must be fair and equitable;

- A space for the teacher's own comments.

8.5 The assessment of performance and of training and development needs will inform the planning process for the following appraisal period.



# **General Principles underlying this Policy**

## **Confidentiality**

The appraisal process will be treated with confidentiality. However, the desire for confidentiality does not override the need for the Head Teacher and Local Governing Board to quality-assure the operation and effectiveness of the appraisal system.

Quality assurance will be undertaken as part of monitoring and evaluation.

## **Monitoring and Evaluation**

The Local Governing Board will monitor the operation and outcomes of performance management arrangements.

The Head Teacher will provide the Local Governing Board with a written report on the operation of the Trust's appraisal policy 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 appraisal procedures;
- teachers' training and development needs

## **Consistency of Treatment and Fairness**

The Local Governing Board is committed to ensuring that the appraisal process is fair and non-discriminatory. The Head Teacher's report must confirm that the appraisal process complies with the Equalities Act 2010.

The Head Teacher 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 protected categories covered by the Equalities Act 2010.

## **Appeals**

At any point in the appraisal process teachers and Head Teachers have a right of appeal in respect of application of the policy or any entry in their planning and review statements – please refer to the Trust's Formal Meetings Procedure.

The grounds for the appeal will determine the relevant appeal process to be used.

## **Definitions**

This procedure applies to all teachers and executive leaders employed by The Societas Trust.

Unless otherwise indicated the following terms are interchangeable:

Employer – applies to The Societas Trust (“The Trust”)

Teacher – applies to all Qualified teachers employed by the Trust including Head Teachers

Head Teacher – also applies to Line Manager or Executive Leader working at a setting

CEO may also apply to the Chair of the Trust Board

Governing Board – applies to the Local Governing Board or the Directors’ Board

Governors – applies to members of the Local Governing Board or the Directors’ Board

Appeal Governors – applies to members of the Local Governing Board or the Directors’ Board

## **Delegation**

The Trust’s Scheme of Delegation sets out the levels of authority delegated to Local Governing Boards and Head Teachers.

## **Long Term Absence**

The appraisal process may need to be adjusted if long term sickness absence or maternity leave affects the achievement or progress towards the appraisal objectives, and in such cases a review will take place.

## **Retention**

The Local Governing Board and Head Teacher will ensure that all written appraisal records are retained in a secure place for six years and then destroyed. The appraisee should retain his or her own copy for the same period.

## **Access to Documentation**

All staff will have access to documentation relating to school improvement and any other documents and procedures to which this policy relates.

# **APPENDIX 1- Classroom Observation Protocol for Appraisal Purposes**

The Local Governing Board is committed to ensuring that classroom observation is developmental and supportive and that those involved in the process will:

- carry out the role with professionalism, integrity and courtesy;
- evaluate objectively;
- report accurately and fairly;
- respect the confidentiality of the information gained and;
- seek to reach agreement in advance on how classroom observations are to be carried out.

The total period for classroom observation arranged for any teacher, for appraisal purposes, will not exceed three hours per cycle having regard to the individual circumstances of the teacher. 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.

In this Trust 'proportionate to need' will be determined in keeping with the following principles:

The arrangements for classroom observation will be included in the planning and review statement and will detail the amount of observation, specify its primary purpose, any particular aspects of the teacher's performance which will be assessed, the duration of the observation, when during the appraisal cycle the observation will take place and who will conduct the observation. Prior to the appraisal observation the context of the observation will be confirmed between the appraiser and appraisee.

Where evidence emerges about the appraisee's teaching performance which gives rise to concern during the cycle, classroom observations may be arranged in addition to those recorded at the beginning of the cycle subject to a revision meeting being held.

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 Trust's commitment to streamlining data collection and minimising bureaucracy and workload burdens on staff.

In keeping with the commitment to supportive and developmental classroom observation those being observed will be notified in advance. All teachers should be given at least 5 working days' notice of the appraisal observation.

Classroom observations will only be undertaken by persons with QTS. In addition, classroom observation will only be undertaken by those who have had adequate preparation and the appropriate professional skills to undertake observation and to provide constructive oral and written feedback and support, in the context of professional dialogue between colleagues.

Oral feedback will be given as soon as possible after the observation and no later than the end of the following working day. It will be given during directed time in a suitable, private environment.

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

The written record of feedback also includes the date on which the observation took place, the lesson observed and the length of the observation. The teacher has the right to append written comments on the feedback document. No written notes in addition to the written feedback will be kept.

## **Appendix 3 – Guidance note: Conducting a meeting where Performance concerns are identified through Appraisal process**

1. Advise the member of staff that this meeting is held as part of the Appraisal process.
2. Ensure the member of staff is provided with a copy of this policy.
3. Reinforce things the staff member does well.
4. Highlight clearly the specific areas of performance that are causing concern, and discuss the evidence of this (this should include evidence from Appraisal process).
5. Ensure the member of staff has the opportunity to respond, provide reasons/explanation etc for the performance shortfall.
6. Ask the staff member if there are any underlying issues that may impact on performance, e.g. health, issues outside work etc
7. Regarding areas of concern agree SMART targets that the teacher should work towards, agree what support the teacher feels would be beneficial and how performance will be monitored.
8. A review period should be set and interim review meetings agreed within this period. The length of this review period will be proportionate to the required improvements however it should not exceed six weeks.
9. Offer a mentor if appropriate (NB: this should be someone not involved in monitoring the staff member's performance).
10. Advise the staff member that if performance doesn't meet the required standards within the review period it may result in concerns being addressed under the Capability Procedure.
11. Encourage the staff member to consult with their trade union for further support.
12. Agree a date for a review meeting

## **Appendix 4 – Guidance Note: Conducting a review meeting where performance concerns have been identified through the Appraisal process**

1. Advise the staff member that this meeting is a review meeting held as part of the Appraisal process.
2. The appraiser should present evidence regarding the staff member's performance against the targets specified in the initial meeting.
3. The staff member should be asked for their opinion regarding their performance against the targets.
4. The staff member should be asked for their opinion on the support provided to date and asked if there is anything further that may assist them in improving their performance.
5. The Headteacher should adjourn the meeting at this point to consider the evidence.
6. If the teacher 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.
7. If the appraiser is not satisfied with the level of progress made, the teacher will be notified in writing that their performance will now be managed under the capability procedure rather than appraisal. This will trigger the commencement of the Capability Procedure.