



LAURUS
—
TRUST

Appraisal Policy

Policy Title and Summary	Appraisal Policy
Author	L Woolley and M Vevers
Last Review Date	April 2020
Next Review Date	April 2021
Reviewed By	M Hertel J Jenkins
Date and Responsibility of next update/review	The Appraisal Policy will be monitored and reviewed annually
Trade Union Consultation	October 2019
Ratification Date	July 2020
Audience	All Teachers Heads of School Executive Heads of School Trustees
Equality Impact Assessment	October 2018
Related Documents	Laurus Trust Pay Policy Laurus Trust Capability Policy School Teachers Pay and Conditions Document National Standards of Excellence for Headteachers (2015) SENCO standards Specialist Leader in Education Standards
Legal Framework	Education (Schools Teachers' Appraisal) (England) Regulations 2012 Equality Act 2010 Data Protection Act 2018
Glossary	CEO – Chief Executive Officer NQT – Newly Qualified Teacher QTS – Qualified Teacher Status TLR – Teaching and Learning Responsibility JCNC – Joint Consultative Negotiation Committee STPCD – School Teachers Pay & Conditions Document

Contents

Content	Page number
Introduction	4
Scope	4
Principles	4
Roles	5
Application of the Policy	5
Appointing Appraisal Reviewers	6
Setting Objectives	6
Reviewing Performance	7
Teachers with responsibilities outside of the classroom	8
Lesson Observation	9
Annual Assessment	11
Process for Moving up the Scale	11
Appeals	12
Quality Assurance	13
Equality Impact Assessment	14
Document Revision Tracker	15

Introduction

The Education (School Teachers' Appraisal) (England) Regulations 2012 set out the principles that apply to teachers in all schools, in each case where they are employed for one term or more. The Laurus Trust has agreed to adhere to the School Teachers Pay & Conditions document (STPCD). This policy has been consulted on within the Joint Consultative and Negotiation Committee (JCNC). This policy should be read in conjunction with the Trust's Pay Policy and Capability Policy which provides details of the arrangements relating to teacher's pay in accordance with the STPCD.

Scope

1. The Laurus Trust need all staff to perform effectively in order to deliver the aims and vision of the individual schools. To achieve this, the Trust aims to ensure that effective recruitment is undertaken, performance expectations and standards are defined through the Appraisal framework, performance is monitored and that employees are given appropriate feedback, support and training. Appraisal is therefore both a developmental and supportive process designed to ensure that staff are able to continue to improve their professional practice.
2. Appraisal will set objectives and provide support so staff have the skills they need to carry out their role effectively and with reference to the appropriate standards. Appraisal is only one element of the performance management of an individual member of staff. The appraisal process should be seen in this context.
3. This policy sets out the framework for a clear and consistent assessment of the overall performance of teachers, including the Head of School, and for supporting their development within the context of the school's plan for improving educational provision and performance, and the standards expected of teachers.
4. The policy, which covers appraisal, applies to the Head of School and to all teachers employed by the school and Trust, except those on contracts of less than one term, those undergoing induction (i.e. NQTs) and those who are subject to the Capability Policy.
5. Assessment will be based on evidence from a range of sources. Teachers should gather any evidence that they deem is appropriate in relation to meeting their objectives, the Teachers Standards and any other criteria (i.e. application to be paid on Upper Pay Range) so that such evidence can be taken into account at the review.
6. Although the school will establish a firm evidence base in relation to the performance of all teachers, there is still a responsibility on individual teachers and appraisers to work together.
7. Mandatory training will be provided for all appraisers.

Principles

1. Confidentiality - The appraisal process will be treated with confidentiality. However, the desire for confidentiality does not override the need for the Head of School, CEO and Trustees to quality-assure the operation and effectiveness of the appraisal system.
2. Consistency of Treatment and Fairness - The Trustees are committed to ensuring consistency of treatment and fairness and will abide by all relevant equality legislation.
3. Definitions - Unless indicated otherwise, all references to "teacher" include the Head of School.
4. Monitoring and Evaluation - The Trustees, CEO, Executive Head Primary and Heads of School will monitor the operation and effectiveness of the school's appraisal arrangements.
5. Retention - The Trustees, CEO, Executive Head Primary and Heads of School will ensure that all written appraisal records are retained in a secure place (in accordance

with GDPR) for six years and then destroyed. Anonymised information about appraisal across the Trust will be made available to Trustees - the minutes of these meetings will be publicly available.

Roles

The Trustees

1. Will comply with the Education (Schools Teachers' Appraisal) (England) Regulations 2012 concerning the appraisal of teachers. Will be responsible for appraising the CEO including the setting of objectives.

The CEO

2. Will be responsible for appraising the Executive Heads of Schools and Heads of School for Secondary, including the setting of objectives.

The Executive Head Primary

3. Will be responsible for appraising the Primary Heads of School, including the setting of objectives.

The Heads of School

4. Will moderate objectives, performance assessments and initial pay recommendations to ensure consistency and fairness.

Appraisers will appraise Teachers fairly and consistently based on evidence from a range of sources. All appraisers will have Qualified Teacher Status (QTS).

Teachers

5. Will be responsible for gathering any evidence that they deem is appropriate in relation to meeting their objectives, the Teachers' Standards and any other criteria (i.e. application to be paid on Upper Pay Range) so that such evidence can be taken into account at the review.

Human Resources

6. The role of HR is to provide support and guidance to managers and employees who are dealing with the appraisal of teachers. HR will:
 - Provide guidance on how to deal with specific issues;
 - Provide coaching to managers on how to apply the policies and procedures appropriately;
 - Provide appropriate information and advice as necessary;
 - Ensure that the policies and procedures are applied fairly and consistently taking into account the circumstances of each case;
 - Be present at meetings where appropriate and requested by the manager.

Application

1. Appraisal in Laurus schools is a supportive and developmental process designed to ensure that all teachers have the skills and support they need to carry out their role effectively. It will help to ensure that teachers are able to continue to improve their professional practice and to develop as teachers and is intended to foster professional dialogue between colleagues.
 - The secondary and primary appraisal period will run for twelve months from 1 November to 31 October;

- The CEO, Executive Head and Head of School appraisal period will run from 1 January to 31 December.
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.
 3. There is flexibility to have a longer or shorter appraisal period when teachers begin or end employment with a school for less than the usual appraisal period.
 - As a general principle when a teacher is absent for an academic year due to maternity leave and has previously had a positive appraisal outcome this will also be the case for the period of absence. If the teacher is present for part of a year then a modified timescale for the appraisal process will be agreed.
 - If a member of staff has been absent for a significant amount of time during the appraisal period due to sickness absence, then account will be taken of the period of their absence and if they meet the definition of the Equality Act 2010 for the purposes of disability in determining the length of the process and the objectives agreed.

Appointing Appraisal Reviewers

1. The task of appraising the CEO including the setting of objectives, will be carried out by the chair and vice chair of the Trustees.
2. The task of appraising the Executive Head Primary and Secondary will be carried out by the CEO.
3. The task of appraising the Primary Heads of School, including the setting of objectives, will be carried out by the Executive Head Primary. Statements from the relevant schools Academy Committees will be used to feed into the setting of objectives and the appraisal process.
4. The task of appraising the Secondary Heads of School, including the setting of objectives, will be carried out by the CEO. Statements from the relevant schools Academy Committees will be used to feed into the setting of objectives and the appraisal process.
5. The Head of school will decide who will appraise other teachers.
6. Reviewers will either be senior leaders or other teachers with line management responsibility. All appraisers will have QTS. Training will be provided for all reviewers.

Setting objectives

1. The CEO's objectives will be set by the chair and vice chair of the Trustees and the Head of School's objectives will be set by the CEO after consultation with the relevant Academy Committee and Executive Head Primary in the case of Primary Heads of School.
2. Objectives for each teacher will be:
 - set before, or as soon as practicable after, the start of each appraisal period;
 - Specific, Measurable, Achievable, Realistic and Time-bound;
 - appropriate to the teacher's role and level of experience.
3. The appraiser and teacher will seek to agree the objectives but, if that is not possible, the appraiser will determine the objectives.
4. A teacher may append any comments they wish to make about their objectives or may have one right of appeal to a more senior manager than their appraiser. The outcome of this appeal is final.
5. Objectives may be revised if circumstances change.
6. 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 students at the school.
7. This will be ensured by the moderation of all objectives by the Head of School or members of the Senior Leadership Team to whom this responsibility has been delegated. The

moderation of objectives will ensure that there is consistency between teachers with similar experience and levels of responsibility. Quality Assurance procedures will further ensure that objectives are being met and are effectively contributing to the School Development Plan.

8. Under normal circumstances teachers will have a maximum of 3 objectives. Those who have an additional TLR or are paid on the leadership spine may have 4 objectives set. The appraiser will take into account the effects of an individual's circumstances, including any disability, when agreeing objectives. **However, teachers who are found not to be meeting standards during the appraisal cycle may be given short-term objectives to meet as part of the additional support detailed below.**
9. 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. All teachers will be assessed against the set of standards contained in the document called "Teachers' Standards" published in July 2011. The teachers' standards will be used to inform the setting of the appraisal objectives. All teachers will be assessed as meeting the teachers standards unless clear, compelling evidence to the contrary is provided.
10. Assessments will also be conducted (if appropriate) against:
 - SENCO standards;
 - Specialist Leader in Education Standards.
11. The Head of School will be responsible for ensuring that the appraisal process operates consistently, that objectives are focused on school priorities and that they take account of the standards audit. All objectives will be referred to the Head of School prior to the commencement of the cycle of monitoring. Where the Head of School has concerns about the relevance of the objectives set, these concerns will be discussed with the appraiser and the objectives may require amendment following discussion with the teacher.

Reviewing performance

Observation

1. The Laurus Trust believes that observation of classroom practice and other responsibilities is important both as a way of assessing teachers' performance in order to identify any particular strengths and areas for development they may have and of gaining useful information which can inform school improvement more generally.
2. All observation will be carried out in a supportive fashion and will allow:
 - at least five working days' notice will be given prior to an observation;
 - verbal feedback will be provided by at least the end of the next school day;
 - written feedback will be provided within 5 working days, unless circumstances make this impossible.
3. The timeline for lesson observations is outlined below.

Secondary

4. Autumn Term: Key stage four or five observation – this observation will take place as part of the appraisal cycle.
5. Spring Term: Key Stage Three or Five observation or faculty review – this observation will take place as part of the appraisal cycle. The Spring Term cycle should be completed prior to half term wherever possible.
6. Summer Term: Key Stage Three or Five observation or faculty review.
7. If a member of staff teaches one or three Key Stage(s), 2 formal observations will still take place.
8. If a member of staff does not teach a particular Key Stage, then a different year group will be observed.
9. A pre-observation conversation should take place before each formal observation. This should involve an analysis of the class data and give the member of staff an opportunity to provide some context.

10. Exercise books and planning will be scrutinised as appropriate.

Primary

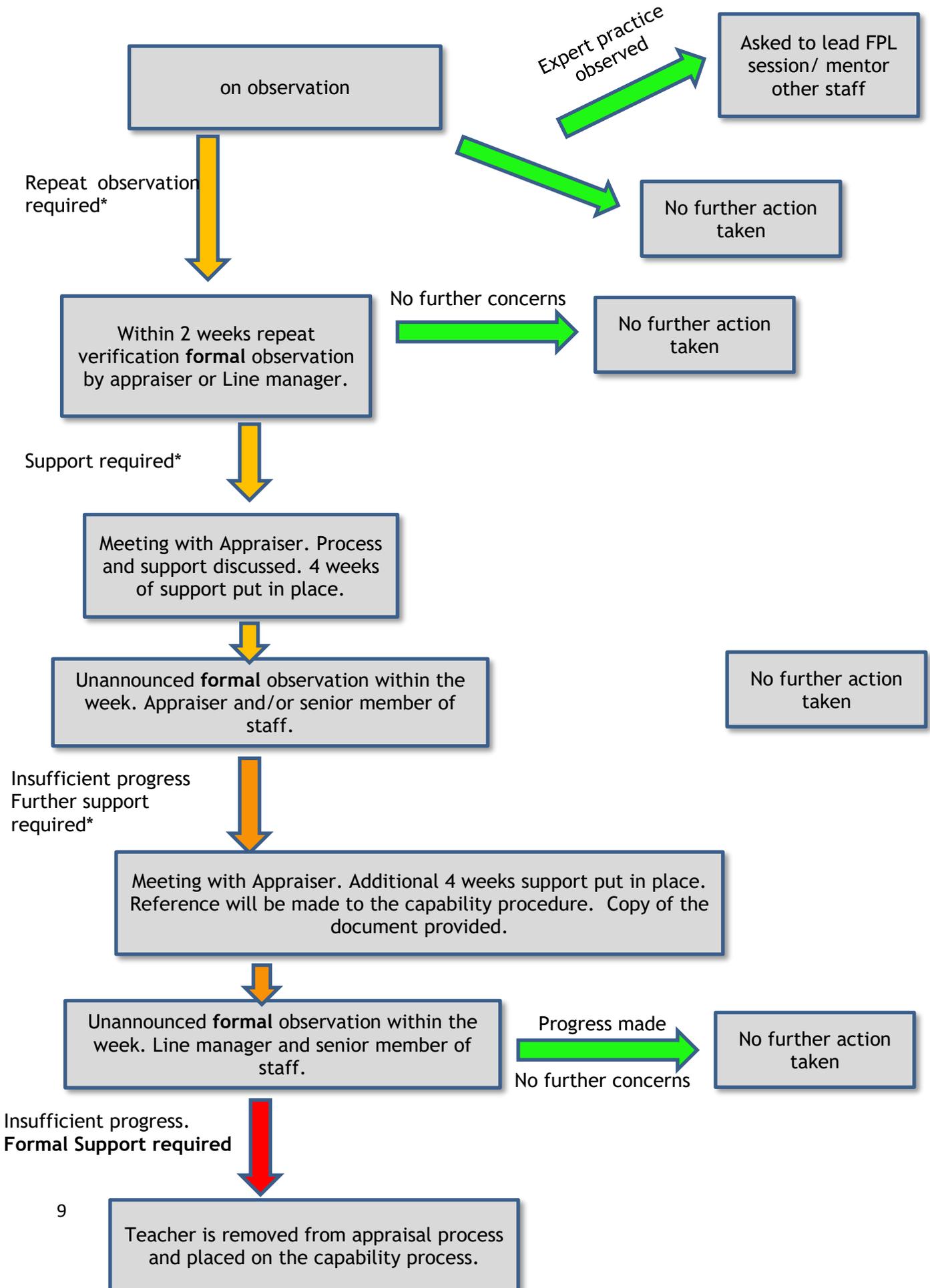
11. Observations will be undertaken in a range of subjects. This will result in 3 formal observations.
12. If the lesson is a cause for concern, the member of staff must be made aware. This applies to all types of lesson observation both formal and informal.
13. If a lesson is judged to be below the standard that is expected this will lead to an additional observation and may lead to a programme of support.
14. Lessons that raise 'serious concern' - If a lesson raises 'serious concerns about the progress/ safety of pupils/students, this automatically triggers an additional formal lesson observation. This will be a joint observation involving the Line Manager and a Senior Member of staff. In the interim period support should be provided by the line manager as appropriate.

Teachers with responsibilities outside of the classroom

1. Teachers (including the Head of School) who have responsibilities outside the classroom should also expect to have their performance of those responsibilities observed and assessed.

**Lesson Observation Outcomes
Primary and Secondary**

* If any lesson is observed that raises 'serious concerns about the progress/ safety of students' then a support programme must be put into place.



Development and support

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

Feedback

2. Teachers will receive constructive feedback on their performance throughout the year and as soon as practicable after observation has taken place or other evidence has come to light. Feedback will highlight particular areas of strength as well as any areas that need attention.

Additional Support

3. Where there are concerns about any aspects of the teacher's performance the appraiser will consult the teacher formally to:
 - give clear feedback to the teacher about the nature and seriousness of the concerns;
 - give the teacher the opportunity to comment and discuss the concerns;
 - agree any support (e.g. coaching, mentoring, structured observations), that will be provided to help address those specific concerns;
 - make clear how, and by when, the appraiser will review progress ensuring that the appraisee has a minimum of 7 weeks to demonstrate progress (the process outlined in the flow chart above illustrates an 8-week timescale);
 - the teacher will be given regular feedback on progress and arrangements will be made to modify the support programme if appropriate;
 - explain the implications and process if no – or insufficient – improvement is made.
4. The above process will constitute the first step of the support process to tackle underperformance. Such concerns do not require a written warning or notice of a support meeting.
5. Whilst there is no right for representation at support meetings, a teacher may wish to bring a work colleague or trade union representative for support purposes.
6. When progress is reviewed, if the appraiser is satisfied that 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 a teacher raises a grievance about the appraisal process it will normally be dealt with concurrently, in exceptional circumstance or the process may be temporarily suspended to allow the grievance to be dealt with.

Transition to capability

8. If the appraiser is not satisfied with progress, the teacher will be notified in writing that the appraisal system will no longer apply and that their performance will be managed under the Capability Procedure, and will be invited to a formal capability meeting. Capability is dealt with in a separate policy.

Annual assessment

1. Each teacher's performance will be formally assessed in respect of each appraisal period. The performance of the Head of School will be assessed by the CEO except that the performance of the Primary Heads of School will be assessed by the Executive Head Primary.
2. This assessment is the end point to the annual appraisal process, but performance and development priorities will be reviewed and addressed at a meeting half way through the academic year or on a more regular basis if necessary. The CEO will be assessed by the Chair and Vice Chair.
3. When assessing performance appraisers use pupil/student results, stakeholder feedback, lesson observations, exercise books and planning, and any other relevant data or information to provide further context to the review.
4. The teacher will receive as soon as practicable following the end of each appraisal period, and have the opportunity to comment in writing on, a written appraisal report. In Laurus secondary schools, teachers will receive their written appraisal reports by 31st October, in primary schools it will be received by 30th September and the CEO and Heads of School will receive their report by the 31st December.
5. 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 teachers standards (based on the assumption that that teachers are meeting the standards unless clear, compelling evidence to the contrary is provided);
 - 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 (pay recommendations need to be made by 31st December for the CEO, by 31st October for primary and secondary teachers).
6. The assessment of performance and of training and development needs will inform the planning process for the following appraisal period.

Process for moving up the Pay Scale.

1. A move up the pay scale will depend on whether or not a member of staff has met appraisal objectives and the appropriate descriptors of the teacher standards.
2. At the end of the cycle, the appraiser will write a summary of the teacher's progress during the year. This will include reference to the Teachers' Standards and any additional objectives.
3. **Additionally, over a sustained period UPS teachers will be able to demonstrate:**
 - their teaching is highly effective;
 - an ability to support some pupils to exceed expected levels of progress/achievement;
 - consistently taking responsibility for identifying and meeting their own professional development needs and using their learning to improve their own practice and pupils' learning;
 - demonstrating that they have made an impact on the school beyond their own class/group(s);
 - 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.

Sustained means maintained continuously over a period of at least 3 school years.

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

- have been assessed as meeting the Teachers' Standards – parts 1 and 2, throughout the assessment period;
 - have had positive lesson observations with no repeat observations required during the assessment period;
 - have been assessed as meeting the requirements of their job description/job role including TLR responsibilities;
 - where relevant meet their individual appraisal objectives;
 - have demonstrated a personal responsibility for identifying and meeting their professional learning needs.
5. As a teacher moves up the main pay range, evidence should show:
- a sustained positive impact on pupil progress;
 - a sustained impact on wider outcomes for pupils;
 - any improvements in specific elements of practice identified to the teacher, e.g. behaviour management or lesson planning;
 - a sustained contribution to the work of the school;
 - an increasing impact on the effectiveness of staff and colleagues.
6. Upper Pay Range teachers will be expected to increasingly demonstrate highly effective teaching overall.
7. Teachers must refer to the Teachers' Standards amplification for details.
8. In the case of Newly Qualified Teachers, whose appraisal arrangements are different, pay decisions will be made by means of the statutory induction process.

Evidence

1. The evidence which will be considered in assessing performance will be included in the appraisal report.
2. The report may make reference to additional evidence to provided further context. Additional evidence may include:
 - pupil progress data;
 - quality of teaching against the Teachers' Standards, including observed practice;
 - self-assessment;
 - professional dialogue;
 - received feedback;
 - appraisal records;
 - professional learning records.

Appeals

1. Appraisees have a right of appeal against any of the entries in the written appraisal report. Where the Head of School has not been recommended for pay progression they will be informed by the CEO/EHP.
2. The Heads of School will notify any teacher who has not been recommended for pay progression of the date when the Trustees meet to consider pay recommendations; following which the teacher (and Head of School when the Head has not been recommended for pay progression) may exercise the right of appeal, assisted by a companion who may be a colleague, or trade union representative.

Quality Assurance

1. Appraisal objectives will be moderated by the Head of School or member of the leadership team to whom this responsibility has been delegated. Staff targets should reflect and support all aspects of the School Development Plan.
2. Appraisers will meet on an annual basis to ensure that a consistent approach is adopted.
3. The Appraisal Policy and procedures will be monitored and evaluated by the Trustees. They will receive an annual report.

Equality Impact Statement

Names and titles of people involved with this assessment	Emma Warrington SENDCO
Title of Policy – Appraisal	
Impact assessment carried out with regard to identified characteristics	Pregnancy or maternity Race Disability Sex Gender reassignment Age Religion & belief Marriage and Civil partnership Sexual orientation
Summary of any issues/proposed changes	
Date	23.10.18
Date of next review	Sept 2019