



LYDIATE  
LEARNING  
TRUST

# Teachers' Appraisal Policy (LLT)



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ENGAGE, ENABLE,  
EMPOWER

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<b>This policy links to:</b>	<ul style="list-style-type: none"> <li>- Equal Opportunities Policy</li> <li>- Teachers Pay Policy</li> <li>- Capability Policy</li> <li>- Teachers' Standards</li> <li>- Classroom Observation Protocol</li> </ul>
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## POLICY STATEMENT

**ENGAGE, ENABLE, EMPOWER**

*"We engage with all within our Trust and beyond to enable them to show the world their particular strengths, their ideas and their passion"*

### We do this by...

- 1) Empowering individuals through learning
- 2) Fostering a "can-do" attitude that leads to continuous improvement
- 3) Producing confident young adults with high levels of perseverance, proficiency and integrity
- 4) Encouraging families and our schools to work together to support student learning
- 5) Providing a happy, safe, supportive environment where students can learn effectively
- 6) Developing the whole child with a comprehensive offer of wider curriculum
- 7) Engaging with our students to inspire, contribute and care
- 8) Developing leadership at all levels for Students, Staff, Governors and our Communities
- 9) Promoting an enterprise culture that creates close working partnerships with business and wider partners
- 10) Committing to having honest conversations about our strengths and our opportunities for growth

The Lydiate Learning Trust's success relies on the performance of its workforce. Through this policy, the Trust aims to:

- Adopt a Trust framework for the clear and consistent assessment of the overall performance of Teachers, including the Chief Executive/Executive Headteacher, the Headteacher and Heads of School
- Review regularly the standards, processes and resources in place to ensure effective application of the framework
- Embed an understanding that effective Appraisal is key to driving forward improvements in Teaching and Learning
- Provide learning and development opportunities for staff to operate successfully within the framework and to meet the objectives set through Appraisal
- Continue to improve the delivery and the outcomes of Appraisal to raise the achievement of students across all areas of the curriculum
- Monitor the effectiveness of each aspect of the framework to ensure an effective and appropriate appraisal process for all teachers

We are committed to taking positive action in the light of the Equality Act 2010 with regard to the needs of people with protected characteristics. These are age, disability, pregnancy and maternity, religion and belief, race, sex, sexual orientation, gender reassignment and marriage and civil partnership.

We will continue to make reasonable adjustments to avoid anyone with a protected characteristic being placed at a disadvantage.

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## PURPOSE AND SCOPE

The rationale for this policy is as follows:

- Trust improvements are driven by an effective framework for clear and consistent appraisal of overall performance of all Teachers including the Chief Executive/Executive Headteacher, the Headteacher and Heads of School.
- A climate of effective staff appraisal directly improves the development of all individual students in the Trust
- Appraisal processes are essential for supporting staff professional learning and development within the context of each school's improvement plan
- Effective appraisal boosts staff morale, self-evaluative skills, performance, wellbeing and sense of purposeful contribution to whole school improvement

## ROLES AND RESPONSIBILITIES

The **Board of Trustees** is responsible for approving this policy, monitoring its effectiveness and ensuring that adequate resources are available to support teaching and learning within each school.

The **CEO** is responsible for ensuring that staff are treated fairly and consistently in the application of this policy and procedure.

The **Human Resources Department** and the **Headteachers** are responsible for ensuring that all teaching staff are aware of this policy and procedure and that training is delivered for managers and appraisers. The HR team will also ensure that the policy is implemented fairly and consistently and that staff are treated with dignity and respect.

**Appraisers** must ensure they carry out their responsibilities fairly and consistently.

Appraisers must also:

- Attend appropriate training
- Monitor appraisal progress against standards and objectives
- Ensure appraisees are given appropriate support throughout the appraisal cycle
- Comply with the requirements of the Equality Act 2010

**Teaching staff** are required to engage in the appraisal cycle, seeking support, clarification, advice and guidance as necessary and accessing teaching and learning support offered and agreed.

## EQUALITY AND DIVERSITY

The Trust is committed to:

- Eliminating discrimination and promoting equality and diversity in its policies, procedures and guidelines
- Delivering high quality teaching and services that meet the diverse needs of its student population and its workforce, ensuring that no individual or group is disadvantaged

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## APPLICATION OF THE POLICY

This policy details the framework for teaching staff appraisal. It should be read in conjunction with the Capability Policy and other relevant policies.

The policy applies to the Chief Executive/Executive Headteacher, Headteacher, Heads of School and to all Teachers with QTS employed by the school except Teachers on contracts of less than one term and those undergoing induction (i.e. NQTs).

Where persistent inadequacies are identified through appraisal and/or feedback, the Appraisal Policy ceases to apply and the individual is subject to the processes detailed in the Capability Policy. This latter policy sets out the formal capability procedure and applies only to staff whose performance results in serious concerns due to persistent inadequacies which the appraisal cycle and ongoing feedback, professional development and support have been unable to adequately address.

This policy should be read in conjunction with the Staff Code of Conduct, the Teacher standards and expectations and Pay policies, which provide specific details of arrangements relating to standards, development and professional learning and Teachers' pay.

## SCHOOL IMPROVEMENT AND DEVELOPMENT PLANNING

Effective Appraisal processes drive forward school improvement within a framework of whole school planning and self-evaluation. For ongoing monitoring, evaluation and development planning, the collective processes of the Appraisal framework are a prime source of information for the evaluation of teaching and learning standards.

Similarly, the School Development Plan and the school's monitoring and self-evaluation records are key documents within the Appraisal framework.

All Appraisers are expected to assure the alignment of Teachers' objectives with school priorities and plans. The objectives should also reflect Teachers' alignment with Lydiate Learning Trust's values and core purpose.

## APPRAISAL CYCLE

Appraisal in each academy will be a supportive and developmental process involving an ongoing professional dialogue between the appraiser and the teacher, 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.

The overall performance of Teachers must be reviewed on an annual basis, which includes a mid-year review and an end of year review. There is no formal requirement to plan formal meetings to review interim performance. However, LLT wish to do the best by their employees and suggest this a useful exercise. The Appraisal period will run for twelve months from 1 November to 31

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October for Teachers. Teaching staff leaving part-way through the year are encouraged to complete their appraisal documentation as much as possible prior to leaving.

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 the provisions of this policy. The length of the cycle will be determined by the duration of their contract.

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 shall determine the length of the first cycle for that Teacher, with a view to bringing their cycle into line with the cycle for other Teachers at the school as soon as possible.

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 shall determine whether the cycle shall begin again and whether to change the Appraiser and/or amend objectives.

## **APPOINTING APPRAISERS**

The CEO/Executive Headteacher will be appraised by members of the Trust Board, supported by a suitably skilled and / or experienced external adviser who has been appointed by the Trust Board for that purpose.

The Headteachers and Head of School will be appraised by the LGB supported by the CEO/Executive Headteacher.

The Headteacher/Heads of School will delegate the Appraiser role for some or all Teachers for whom s/he is not the direct line manager within their respective schools. All Appraisers to whom the CEO has delegated the role will receive appropriate preparation and training for that role. Line Managers where possible, practicable, fair and equitable will be the Appraisers for all those Teachers whom they line manage. Where the Appraiser is not the Teacher's direct line manager the Appraiser will have a higher status in the staffing structure than the Teacher they review. Where 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. Leaders, who are not the Appraiser, will be able to assure the objectives set by staff in the team for which they have direct responsibility, thus ensuring objectives set are in-line with development and improvement plans.

Where it becomes apparent that the Appraiser will be absent for the majority of the cycle the Headteacher may perform the duties himself/herself or delegate them in their entirety to another Teacher.

Should the Appraiser change during the cycle, the Appraisal cycle will not begin again.

The Headteacher's are expected to ensure all written objectives, the process and written statements are conducted in a fair and equitable manner and recorded properly. They must ensure a full moderation process is conducted.

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In addition, the CEO/Executive Headteacher will moderate a sample of written Appraisal statements to ensure:

- Objectives, written feedback and expectations are consistent with a Teacher's experience, responsibilities and offer the progression necessary for professional development;
- Objectives comply with the school's core purpose and values;
- All objectives are negotiated and approved by the Headteacher/Head of School;
- All appraisers will be qualified teachers

## SETTING OBJECTIVES

The CEO's objectives will be set by members of the Trust Board after consultation with the external advisor.

For all other teachers and Headteachers, objectives should be set in the Appraisal meeting before, or as soon as practicable after, the start of each Appraisal period. The objectives set for all staff will be specific, measureable, achievable, time-bound, fair and equitable in relation to the Teacher's responsibilities and experience and consistent with the school's strategy for achieving a work-life balance for all staff. They shall also take account wherever possible of the Teacher's professional aspirations, Trust and School succession planning, career pathways and any relevant pay scale / progression criteria. They will total a maximum of 3 objectives.

The Appraiser and Teacher will seek to agree the objectives, but where a joint determination cannot be made the Appraiser will make the determination. If there is a failure to agree, the Appraiser will flag this with the Headteacher. The Teacher can add comments to the appraisal documentation highlighting any points of disagreement, which the Appraiser should share with the Headteacher, who will consider this as part of the moderation process.

Objectives should be such that they will, if achieved, contribute to the school's plans for improving provision, performance, and the education of all pupils at the school. Teachers will normally have 3 objectives, which should align with the main headings of the school development plan.

It is vital that, in order for the Appraisal process to be meaningful and appropriately challenging, there is serious consideration given to the impact of the objectives for each teacher, if accomplished. Both the Appraiser as well as the Appraisee need to ensure that each objective is tied to an impact statement as part of the planning process and clear success criteria and evidence are agreed.

Although Appraisal is an assessment of overall performance of Teachers, including the Chief Executive/Executive Headteacher, the Headteacher and the Heads of School, objectives cannot cover the full range of a Teacher's roles/responsibilities. Objectives will, therefore, focus on the priorities for an individual using the Teachers standards and expectations as a backdrop alongside the framework for Appraisal and must be applied in correlation with all relevant policies, for example staff code of conduct and teachers standards and the school improvement priorities.

Teachers are encouraged to use their appraisal throughout the year as a working document. If there is a material change affecting objectives the objectives may be reviewed informally by the Appraiser and the Teacher. Failure to agree on objectives should be flagged by the Appraiser to

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the Headteacher. However, it must be noted that appraisal is "owned" by the appraisee and any change in circumstances should be raised by the individual

A pay recommendation will be recorded at the planning meeting in relation to what will happen when appraisal targets are successfully completed.

## DEVELOPMENT AND SUPPORT

Each academy encourages a culture in which all teachers take responsibility for improving their teaching and extending their depth of knowledge through appropriate professional development. In addition, our appraisal process is used to inform and decide continuing professional development (CPD) which improves performance. Agreed professional development will be linked to academy improvement priorities and where possible to the ongoing professional development needs and priorities of individual teachers. At each academy, we are committed to supporting appropriate and reasonable development which not only assists the teacher in their teaching but also leads to improvements in performance across the academy.

## REVIEWING PERFORMANCE

The final Appraisal review meeting is the end point to the annual Appraisal cycle, but performance and development priorities will be reviewed and addressed on a regular basis throughout the year. Overall performance of the Teacher will be reviewed and evidenced in a range of ways and not limited to a single measure. Both parties contribute to the management of appraisal, should be positive at all times and albeit not to dilute the challenge the appraisee should own this process.

Teachers will also expect to receive supportive constructive feedback on their performance throughout the Appraisal period from line managers, appraisers and those in Senior Leadership roles with specific responsibilities for Teaching and Learning. Feedback will highlight particular areas of strength as well as any areas that need attention for development. Where there are concerns about any aspects of the Teacher's performance the senior leader/line manager/appraiser will meet the Teacher in order to:

- give clear feedback to the Teacher about the nature of the concerns;
- give the Teacher the opportunity to respond and discuss the concerns and any mitigation;
- agree any support (e.g. training, CPD, counselling, coaching, mentoring, structured observations), that will be provided to help address those specific concerns within agreed timescales;
- make clear how, and by when, the Appraiser or designated other will review progress against objectives set;
- explain the implications and process if no – or insufficient – improvement is made and any inadequacies become persistent.

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When progress is reviewed at the end of the appraisal period, if the appraiser is satisfied that the Teacher has made, or is making, sufficient improvement, the appraisal process will continue as normal.

This meeting can happen at any time during the appraisal period and does not have to wait until the annual assessment. It is a supportive meeting and designed to address issues early to avoid the matter escalating, giving the teacher the opportunity to improve. At the meeting, the appraiser will be required to present evidence collected that indicates that the teacher's performance is not up to the required standard. There is no right to be accompanied to this meeting. However, LLT and its Academies will consider any reasonable requests to be accompanied on a case by case basis. The appraiser will seek advice from their HR representative.

Although this is part of the informal process, a note of the meeting will be made, and a copy given to the teacher so that they are clear about the support they will be given and what improvements need to be made. The length of the informal review period will be determined by the appraiser based on the individual circumstances of the situation, but it should not be unduly long. During the informal review period, regular meetings should take place to ensure progress is being made.

At the end of the informal review period 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. If performance is improving and the appraiser feels that further time is required to monitor improving performance, the appraiser can decide to extend the informal review period, but it should not be unduly long. If insufficient improvement is being made including only partial meeting of targets, then the process set out below should be followed. It will be for the appraiser to decide if the matter needs to be referred on.

## ANNUAL ASSESSMENT

Each Teacher's performance will be formally assessed at the end of the Appraisal period.

At the end of the cycle assessment of performance against objectives and the job description will be on the basis of the success criteria set in writing at the beginning of the cycle. 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. Progress towards the achievement of an objective, where the success criteria have not been met in full, will be assessed in a fair and equitable way.

The Appraiser and Teacher will complete as soon as practicable following the end of each Appraisal period – and have the opportunity to comment further in writing on - a formal written Appraisal report. Appraisers and Teachers will finalise their written Appraisal reports by 31 October (31 December for the CEO, Headteacher's and SLT). The formal written Appraisal report will include:

- details of the Teacher's objectives for the Appraisal period in question;

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- an assessment of the Teacher's performance of their role and responsibilities against their objectives and the relevant standards;
- a summary of observation findings;
- 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 (to be completed as detailed in the Pay Policy. A guidance form is attached as an appendix to this policy).

## MONITORING AND EVALUATION

During the appraisal period, each teacher has a responsibility for ensuring there is a record of evidence of their progress throughout the year in order for them to identify any particular strengths or areas for further development at the interim (if applicable) and annual review meetings. These will be identified in the planning meeting at the beginning of the cycle. The appraiser will then record the discussion on this evidence and make an assessment in the appraisal report.

In addition, LLT academies have a responsibility to ensure frameworks and processes are in place recording a range of evidence which should be available to the appraiser on the teacher's performance as part of the academy's quality assurance processes. Evidence may include as part of the appraisal process:

- Lesson observations
- Work scrutiny
- Planning scrutiny
- Tracking data of pupil's progress
- Progress of individuals/groups
- Assessment of TLR
- Other evidence by mutual agreement.

Headteachers and appraisers should use their professional judgment to assess teachers work. LLT's view is that in the context of appraisal undertaken as a positive and supportive process of professional dialogue and evaluation of practice, the teacher standards can be used to support the identification of objectives in the appraisal cycle.

The appraiser will then record the discussion on this evidence and make an assessment in the appraisal report.

## TRANSITION TO CAPABILITY

Performance management is an ongoing process. If the appraiser is not satisfied with progress, despite the support provided, they will seek advice from their HR representative. The employee 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, in line with the policy.

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## LEARNING, DEVELOPMENT AND SUPPORT

Appraisal is a supportive process which will be used to inform continuing professional development. LLT wishes to encourage a culture in which all teachers take responsibility for improving their teaching through appropriate professional development, through peer observation for example. Where the Appraisal objectives of any teacher link directly to the professional development programme, care should be taken to ensure that every opportunity is provided to allow teachers to meet that objective.

With regard to the provision of professional development opportunities for individual teachers, a decision on relative priority will be taken with regard to the extent to which: (a) the training identified is essential for a teacher to meet their objectives; and (b) meeting the objective will help the school to achieve its priorities. The school's priorities will have precedence. Teachers will not be held accountable for failing to make good progress towards meeting their objective where the support recorded in the written appraisal planning record has not been available.

## RETENTION OF STATEMENTS

Written appraisal planning and review statements will be retained in a secure place for a period of 6 years and will then be destroyed as per the Trust retention policy.

## CONFIDENTIALITY

The Appraisal and Capability processes will be treated with confidentiality. However, the desire for confidentiality does not override the need for the Chief Executive/Executive Headteacher, Headteacher (and / or delegated Senior Leader/s where appropriate), to quality assure the operation and the effectiveness of the system.

## MONITORING AND REVIEW OF THE POLICY

The Trust Board will review the application of the Appraisal Policy every school year.

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.

The Trust Board and the CEO will monitor the operation and the effectiveness of the Trust's Appraisal arrangements.

## APPEALS

All staff may choose to exercise an individual right of appeal against the implementation / operation of the school's Appraisal Policy and this would be via the Trust's Grievance Procedure.

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## MONITORING COMPLIANCE

Effectiveness and compliance of this Policy and Procedure will be monitored via the reporting and auditing management of the process.

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