



The de Ferrers Trust

# Teacher Appraisal Policy

Adopted by Board of Directors on  
Consulted with trade unions December 2017

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## **1 Purpose**

- 1.1 This policy sets out the framework for a clear and consistent assessment of the overall performance of teachers, including the Principals (and Executive Principals if in place), and for supporting their development within the context of the Trust's plan for improving educational provision and performance, and the standards expected of teachers. It also sets out the arrangements that will apply when teachers fall below the levels of competence that are expected of them.

## **2 Application of the policy**

- 2.1 The policy covers appraisal, applies to the Principals and to all teachers employed by the Trust, except those on contracts of less than one term, those undergoing induction (i.e. NQTs) and those who are subject to the Trust's Performance Improvement Policy.
- 2.2 Throughout this policy, unless indicated otherwise, all references to 'teacher' include the Principals.

## **3 Teacher Appraisal**

- 3.1 Appraisal in this Trust will be 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. Appraisal will provide evidence for pay progression as outlined in the Pay Policy.

### **3.2 The appraisal period**

The appraisal period will run from 1<sup>st</sup> September to 31<sup>st</sup> August. Pay decisions will be made no later than 31<sup>st</sup> October following the end of the Appraisal period.

- 3.2.1 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.
- 3.2.2 Where a teacher starts their employment at the academy part-way through a cycle, the Principal, or nominated representative, shall determine the length of the first cycle for that teacher, with a view to bringing this into line with the cycle for other teachers as soon as possible.

### **3.3 Appointing appraisers**

- 3.3.1 In each academy, the Principal or person with delegated authority, will decide who will appraise other teachers. In this Trust, this will normally be:

- The Principal
- Members of the academy leadership teams
- The teacher with a clear line management overview of a teacher's work
- A teacher(s) specifically identified to undertake appraisal of other teachers in the academy, such as a Lead Teacher.

3.3.2 The Principals will be appraised by the Chief Executive and Executive Principal if in post.

3.3.3 The Executive Principal will be appraised by the Chief Executive.

### **3.4 Setting objectives**

3.4.1 The Principals' and Executive Principals' objectives will be set by Chief Executive. Objectives will be focused on key academy priorities and take account of the relevant head teacher standards.

3.4.2 Objectives for each teacher, including the Principal, will be set before, or as soon as practicable after, the start of each appraisal period. The objectives set for each teacher will be linked to the relevant standards, will be Specific, Measurable, Achievable, Realistic and Time-bound and will be appropriate to the teacher's role and level of experience. The appraiser and teacher will seek to agree the objectives but, if that is not possible, the appraiser will determine the objectives, and the teacher may record their comments in writing as an appendix to the appraisal statement. Objectives may be revised if circumstances change.

3.4.3 The objectives set for each teacher, including the Principal, will, if achieved, contribute to the Trust's plans for improving the educational provision and performance and improving the education of students within the Trust. This link will be made:

- By ensuring that the student progress objective addresses the key attainment priority identified by the improvement plan
- By ensuring that the professional development objective addresses the key development priority informed by the annual audit against teacher standards (see Appendices A and B)
- By ensuring that the leadership and management objective (all teachers with paid leadership responsibilities) addresses the key development priority identified by consideration of the leader's effectiveness - with reference to any relevant leadership standards - in addressing key academy improvement plan priorities. Where no national standards currently exist (e.g. for Vice Principals), the Principal will agree the objectives in relation to the role of each Senior Vice Principal, Vice Principal and Assistant Principal

The objectives will, if achieved contribute towards the decisions regarding pay progression.

- 3.4.4 Under normal circumstances teachers will have a maximum of 3 objectives. However, teachers who are found not to be meeting standards at the appropriate level for their career stage (Appendix B) by the annual standards audit (Appendices A and B) may be given an additional objective to ensure that the most appropriate support can be provided. Teachers may also self-select additional objectives if they deem it appropriate.
- 3.4.5 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. Assessments will also be conducted (if appropriate)
- National standards of excellence for headteachers
- 3.4.6 The Director of HR and Chief Executive will be responsible for ensuring that the appraisal process operates consistently, that objectives are focused on Trust priorities and that they take account of the standards audit. All objectives will be referred to the relevant Principal prior to the commencement of the cycle of monitoring. Where the Principal has concerns about the relevance of the objectives set, these concerns will be discussed with the appraiser. The objectives may require amendment following discussion with the teacher. The objectives will be quality assured by members of the relevant academy leadership team.

### **3.5 Reviewing performance**

#### **3.5.1 Observation**

3.5.2 This Trust believes that observation of classroom and leadership practice 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 improvement more generally. All observations will be carried out in a supportive fashion by those with QTS. There will not be a separate observation specifically for the purposes of appraisal. Lesson observation data will be used from the Academies' existing records.

3.5.3 Detailed arrangements for the observation of classroom and leadership practice are set out in Appendix D.

#### **3.5.4 Development and support**

3.5.5 Appraisal is a supportive process which will be used to inform continuing professional development. The 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 Academy improvement priorities and to the ongoing professional development needs and

priorities of individual teachers as detailed in the section on “Setting Objectives” above.

### **3.5.6 Feedback**

- 3.5.7 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 include discussion with the teacher, will highlight particular areas of strength as well as any areas that need attention and will determine any appropriate action required. The feedback will not necessarily come from the appraiser but from the staff member who has observed the lesson.
- 3.5.8 Where, following the audit against teacher standards during the review cycle, there are concerns about any aspects of the teacher’s performance these will be addressed via the procedure set out in Appendix E.
- 3.5.9 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. Where issues are highlighted, this will be communicated to the teacher as this may have pay progression implications.

### **3.6 Transition to capability**

- 3.6.1 If the appraiser has significant concerns 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 Trust’s Performance Improvement Policy. This notification will trigger the commencement of the Performance Improvement procedure detailed within that Policy.

### **3.7 Annual assessment**

- 3.7.1 Each teacher’s performance will be formally assessed in respect of each appraisal period.
- 3.7.2 This assessment is the end point to the annual appraisal process, but performance and development priorities will be reviewed and addressed on a regular basis throughout the year by means of
- Lesson observations
  - Planning and work analysis
  - Learning walks
  - Mid-cycle review meeting with appraiser
  - Observation/scrutiny of leadership and management activities where appropriate
  - Other feedback obtained during the cycle relevant to the teacher’s overall performance.

3.7.3 Within two months of the end of each appraisal period, the teacher will receive, and have the opportunity to comment in writing on, a written appraisal booklet. In this Trust, teachers, including the Principal, will receive their written appraisal booklets no later than 31 October. The appraisal booklet 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;
- feedback from the line manager if different from that of the appraiser;
- a recommendation on pay where that is relevant.

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

3.7.5 Any recommendations on pay will be referred to the Principal before being presented to the Pay Committee. For further details please refer to the Pay Policy.

### **3.8 Confidentiality**

3.8.1 Access to the written appraisal report will normally be limited to the appraised, the appraiser and the academy leadership team. Anonymized appraisal reports will be given to the Pay Committee to inform pay decisions.

### **3.9 Equality and consistency**

3.9.1 As outlined in paragraph 3.4.6 above, the Principals will have overall responsibility for the quality assurance of the appraisal process across their academies. This will include ensuring the consistency and equality of application of the process throughout their academies. The Principals may delegate responsibility for monitoring consistency and equality of application to members of the academy leadership team.

3.9.2 The Principals will be responsible for reporting annually to the Local Governing Body on any relevant issues, including those of underperformance, arising from the annual review cycle and on any action required to address those issues. The report will enable governors to receive an overall general report of the process but will not include specific details relating to individual members of staff.

3.9.3 The Local Governing Body is committed to ensuring consistency of treatment and fairness and will abide by all relevant equality legislation.

### **3.10 Retention of booklets**

3.10.1 The Local Governing Body and Principals will ensure that all written appraisal records are retained in a secure place for six years and then destroyed. These records will be put on staff files.

**TEACHERS’ STANDARDS AUDIT AND PROFESSIONAL DEVELOPMENT OBJECTIVE PLANNER**

**NAME** \_\_\_\_\_



**The de Ferrers Trust**

+\* area where you may be able to help others; ✓\* area you are secure in your own practice; -\* area where you may need help from others

Standard	+*	✓*	-*	Additional Comments
<b>1.1. Set high expectations which inspire, motivate and challenge students</b> 1. Establish a safe and stimulating environment for students, rooted in mutual respect 2. Set goals that stretch and challenge students of all backgrounds, abilities and dispositions 3. Demonstrate consistently the positive attitudes, values and behaviour which are expected of students				
<b>1.2. Promote good progress and outcomes by students</b> 1. Be accountable for students’ attainment, progress and outcomes 2. Plan teaching to build on students’ capabilities and prior knowledge 3. Guide students to reflect on the progress they have made and their emerging needs 4. Demonstrate knowledge and understanding of how students learn and how this impacts on teaching 5. Encourage students to take a responsible and conscientious attitude to their own work and study				
<b>1.3. Demonstrate good subject and curriculum knowledge</b> 1. Have a secure knowledge of the relevant subject(s) and curriculum areas, foster and maintain students’ interest in the subject and address misunderstandings 2. Demonstrate a critical understanding of developments in the subject and curriculum areas, and promote the value of scholarship 3. Demonstrate an understanding of and take responsibility for promoting high standards of literacy, articulacy and the correct use of standard English, whatever the teacher’s specialist subject 4. If teaching early reading, demonstrate a clear understanding of systematic synthetic phonics 5. If teaching early mathematics, demonstrate a clear understanding of appropriate teaching strategies				
<b>1.4. Plan and teach well structured lessons</b> 1. Impart knowledge and develop understanding through effective use of lesson time 2. Promote a love of learning and children’s intellectual curiosity				

<p>3. <b>Set homework and plan out-of-class activities to consolidate and extend the knowledge and understanding students have acquired</b></p> <p>4. <b>Reflect systematically on the effectiveness of lessons and approaches to teaching</b></p> <p>5. <b>Contribute to the design and provision of an engaging curriculum within the relevant subject area(s)</b></p>				
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+\* area where you may be able to help others; ✓\* area you are secure in your own practice; -\* area where you may need help from others

Standard	+*	✓*	-*	Additional Comments
<p><b>1.5. Adapt teaching to respond to the strengths and needs of all students</b></p> <p>1. <b>Know when and how to differentiate appropriately, using approaches which enable students to be taught effectively</b></p> <p>2. <b>Have a secure understanding of how a range of factors can inhibit students' ability to learn and how best to overcome these</b></p> <p>3. <b>Demonstrate an awareness of the physical, social and intellectual development of children, and know how to adapt teaching to support students' education at different stages of development</b></p> <p>4. <b>Have a clear understanding of the needs of all students, including those with special educational needs; those with high ability; those with English as an additional language; those with disabilities; and be able to use and evaluate distinctive teaching approaches to engage and support them</b></p>				
<p><b>1.6 . Make accurate and productive use of assessment</b></p> <p>1. <b>Know and understand how to assess the relevant subject and curriculum areas, including statutory assessment requirements</b></p> <p>2. <b>Make use of formative and summative assessment to secure students' progress</b></p> <p>3. <b>Use relevant data to monitor progress, set targets, and plan subsequent lessons</b></p> <p>4. <b>Give students regular feedback, both orally and through accurate marking, and encourage students to respond to the feedback</b></p>				
<p><b>1.7 Manage behaviour effectively to ensure a good and safe learning environment</b></p> <p>1. <b>Have clear rules and routines for behaviour in classrooms, and take responsibility for promoting good and courteous behaviour both in classrooms and around the school, in accordance with the school's behaviour policy</b></p> <p>2. <b>Have high expectations of behaviour, and establish a framework for discipline with a range of strategies, using praise, sanctions and rewards consistently and fairly</b></p> <p>3. <b>Manage classes effectively, using approaches which are appropriate to students' needs in order to involve and motivate them</b></p> <p>4. <b>Maintain good relationships with students, exercise appropriate authority and act decisively where necessary</b></p>				

<b>1.8 Fulfil wider professional responsibilities</b> <ol style="list-style-type: none"> <li>1. Make a positive contribution to the wider life and ethos of the school</li> <li>2. Develop effective professional relationships with colleagues, knowing how and when to draw on advice and specialist support</li> <li>3. Deploy support staff effectively</li> <li>4. Take responsibility for improving teaching through appropriate professional development, responding to advice and feedback from colleagues</li> <li>5. Communicate effectively with parents with regard to students' achievements and well-being</li> </ol>				
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<b>Part 2 Personal and Professional Conduct</b> <b>The following statements define the behaviour and attitudes which set the required standard for conduct throughout a teacher's career</b>	***+	**+	**-
<b>2.1. Teachers uphold public trust in the profession and maintain high standards of ethics and behaviour, within and outside school, by:</b> <ol style="list-style-type: none"> <li>1. Treating students with dignity, building relationships rooted in mutual respect, and at all times observing proper boundaries appropriate to a teacher's professional position</li> <li>2. Having regard to the need to safeguard students' well-being, in accordance with statutory provisions</li> <li>3. Showing tolerance of and respect for the rights of others</li> <li>4. Not undermining fundamental British values, including democracy, the rule of law, individual liberty and mutual respect, and tolerance of those with different faiths and beliefs</li> <li>5. Ensuring that personal beliefs are not expressed in ways which exploit students' vulnerability or might lead them to break the law</li> </ol> <p><b>2.2 Teachers must have a proper and professional regard for the ethos, policies and practice of the school in which they teach, and maintain high standards in their own attendance and punctuality</b></p> <p><b>2.3 Teachers must have an understanding of, and always act within, the statutory frameworks which set out their professional duties and responsibilities</b></p>			

<b>Preamble</b>	***+	**+	**-
<ul style="list-style-type: none"> <li>• Teachers make the education of their students their first concern, and are accountable for achieving the highest possible standards in work and conduct. Teachers act with honesty and integrity; have strong subject knowledge; keep their knowledge and skills as teachers up-to-date and are self-critical; forge positive professional relationships; and work with parents in the best interests of their students</li> </ul>			

\*\*\* + performance above expectations    \*\* + performance in line with expectations    \*\*- performance may be below expectations

## Appendix B – National Standards Career Stage Expectations



The de Ferrers Trust

### Confidential – INITIAL ASSESSMENT – CAREER STAGE EXPECTATIONS

#### National Standards Index

Professional Area	M2	M3	M4	M5	M6	UPS1	UPS2	UPS3
Professional Practice – Quality of Teaching <b>1.1(1)</b> <b>1.2(2,3,5)</b> <b>1.3(1,3)1.4(1,2,3)</b> <b>1.5(all)</b> <b>1.6(1)</b> <b>1.7(1,2,3)</b> <b>1.8(3)</b> <b>2.1(2,4)</b> <b>Preamble</b>	The majority of aspects of teaching over time to be at least good	The majority of aspects of teaching over time to be at least good	All aspects of teaching over time to be at least good	All aspects of teaching over time to be at least good	All aspects of teaching over time to be good with some outstanding features	All aspects of teaching over time to be good with some outstanding. To share good practice across the faculty to positively impact on the practice of others	All aspects of teaching over time to be good with many outstanding. To share good practice across the faculty to positively impact on the practice of others	All aspects of teaching over time to be good with many outstanding. To share good practice across the academy to positively impact on the practice of others
Professional Outcomes – Student Progress <b>1.1(2)</b> <b>1.2(1,2,3)</b> <b>1.5(1)</b> <b>1.6(3,4)</b> <b>Preamble</b>	The majority of students achieve in line with academy expectations	The majority of students achieve in line with academy expectations	The large majority (at least some above) of students achieve in line with academy expectations	The large majority (at least some above) of students achieve in line with academy expectations	The large majority (at least some above) of students achieve in line with academy expectations	Almost all students achieve in line with academy expectations; many exceed them	Almost all students achieve in line with academy expectations; many exceed them	Almost all students achieve in line with academy expectations; most exceed them
Professional Relationships <b>1.1(1)</b> <b>1.6(4)</b>	Positive working relationships with students,	Positive working relationships with students,	Positive working relationships with students,	Positive working relationships with students,	Positive working relationships with students,	Plays a proactive role in building faculty teams	Plays a proactive role in building academy wide teams which	Plays a proactive role in building academy

<b>1.7(4)</b> <b>1.8(2,3,5)</b> <b>2.1(1,3,4)</b> <b>Preamble</b>	colleagues and parents	colleagues and parents	colleagues and parents which are securely focused on improving the provision for students	colleagues and parents which are securely focused on improving the provision for students	which leads to excellent provision and outcomes for students	which leads to excellent provision and outcomes for students	leads to excellent provision and outcomes for students	wide teams which leads to excellent provision and outcomes for students
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## Appendix C – Procedure for Conducting National Standards Audits

C1 The 2012 Appraisal Regulations [Para 6 (a)] require Principals “to inform the teacher of the standards against which the teacher’s performance in that appraisal period will be assessed” It follows from this that the academies within the Trust needs to adopt a fair and evidence-based procedure for deciding whether or not standards are met. The Principal has a key role to play in ensuring that judgments are consistent across the Trust academies.

C2 The key stages of the procedure are as follows:

- Time will be provided for teachers to conduct a self-audit against the National Standards (Preamble, Part 1 and Part 2) **AND** identify their performance level indicated by the agreed career stage expectations set out in Appendix B
- Each teacher’s appraiser paired with the Principal/appropriate academy leadership team member will complete the audit in exactly the same way. Wherever this pair indicates that performance may not be at the level required, it will need to be in a position to back this up by reference either to written evidence previously shared with the teacher suggesting a standard is not met or to a lack of evidence allowing a judgment to be made that it is met
- The audits will then be exchanged.
- Teacher and appraiser will then attend a Professional Dialogue meeting. The aim of the meeting will be to agree the standards against which the teacher’s performance will be assessed in the next appraisal cycle. Where the initial audit (or examination of evidence at the Professional Dialogue meeting) results in agreement that all relevant standards are met, the teacher will be free to identify the national standard against which he or she would like to be assessed by means of the professional development objective. Where the initial audit (or examination of evidence at the Professional Dialogue meeting) results in agreement that particular standards are not met, these standards will become those against which the teacher’s performance will be assessed in the next appraisal cycle
- Where teacher and appraiser cannot reach agreement on whether or not a standard is met, the matter will be referred to the Principal or Executive Principal if in post, who will meet with the teacher, consider all available evidence, and inform the teacher of his or her decision. In a large academy (usually 100 plus students), this responsibility may be delegated by the Principal.
- A teacher dissatisfied with the Principal’s decision will have the right to meet the Principal in the first instance and then a further panel of governors under existing procedures.

## **Appendix D – Observation of Teaching and Leadership Practice**

### **D1 Formal Lesson Observations.**

- D1.1 Teachers (other than those who are part of the National Standards Support Programme set out in Appendix E) will have up to 3 lesson formal observations in the course of the appraisal cycle
- D1.2 An individual teacher is free to request that all general lesson observations be unannounced
- D1.3 Oral feedback will be given as soon as possible after the end of the lesson; written feedback will be provided within 5 working days

### **D2 Other Visits to Lessons**

- D2.1 There will be other occasions in the academy year when those with leadership responsibilities are present in lessons. The principal objective of these visits is to enable leaders to understand for themselves what is going on in classrooms and to identify any ways in which either the curriculum or everyday support procedures can be improved
- D2.2 Because these are not formal lesson observations, no written feedback will be given, and therefore no evidence from them will be used to inform appraisal review.
- D2.3 If any aspect of classroom practice seen during leadership visits gives cause for concern, the teacher will be informed so that, if necessary, further investigation may be undertaken or additional lesson observations arranged. If this further investigation leads to a decision that a national standard is not met at the appropriate career stage, the special support arrangements set out in Appendix E will apply.
- D2.4 Where applicable, Key Stage Leaders and Directors of Learning will also conduct lesson observations to support the learning in their Key Stage and across the faculty.

## **Appendix E: Provision of Additional Support Where National Standards Are Not Met (National Standards Support Programme)**

- E1 Where national standards are found not to be met at the appropriate career stage, special arrangements will be made to ensure that the appropriate support can be provided. These may include:
- The appointment of a reviewer from the academy leadership team or appropriate member of staff
  - The setting of an additional appraisal objectives above the academy norm
  - Additional formal lesson observations, many or all of which may be unannounced
- E2 Where information comes to light in the course of an appraisal cycle that leads the Principal to conclude that national standards are not met at the appropriate career stage expectation level, these new arrangements, including a change of reviewer, will come into force as soon as possible after the decision has been made
- E3 Where national standards are identified as not being met at the appropriate career stage expectation level by either means, appraisal objectives will be action planned to a much shorter timescale – typically one term, but less if the Principal decides the situation warrants this. At the end of each such period, progress will be reviewed – and a decision made on whether:
- To end the support programme and resume normal appraisal arrangements
  - To continue to provide support within appraisal by setting further short-term objectives
  - To suspend appraisal and move immediately into the formal Performance Improvement Policy.