



SPARKEN HILL
ACADEMY

Appraisal Policy

Rev	Date Issued	Prepared By	Approved	Comments
1.1	September 2022	RTL	08 Dec 2022	
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1. Aims

This policy aims to:

- Make sure teachers have the skills and knowledge they need to fulfil and excel in their roles and provide an excellent education to our pupils
- Set out our school's arrangements for appraising teachers, including the process and the responsibilities of individuals, while making sure these arrangements have a minimal impact on the workload of all parties concerned
- Make sure that teacher appraisals are carried out in a fair, just and transparent way while eliminating unnecessary bureaucracy
- Provide a supportive and safe environment for line managers and teachers to have meaningful, open and honest conversations about feedback and guidance, including successes and areas for improvement
- Support and encourage a culture of continuous professional learning that:
 - Nurtures teachers' professional growth
 - Meets individual and school priorities, including our school's latest Ofsted report and school improvement plan
 - Reflects the context of the Teachers' Standards

This policy applies to all teaching staff employed by the school, except those on contracts of less than 1 term, those undergoing induction (i.e. early career teachers (ECTs)) and those who are subject to capability procedures.

2. Legislation and guidance

As an academy, we are free to determine our own appraisal arrangements. However, where a teacher's contract specifically incorporates conditions from [The Education \(School Teachers' Appraisal\) \(England\) Regulations 2012](#), these will continue to apply due to [The Transfer of Undertakings \(Protection of Employment\) \(TUPE\) Regulations 2006](#), which protect employees' terms and conditions when a maintained school becomes an academy.

We have based this policy on the [model policy](#) produced by the Department for Education (DfE).

This policy complies with our funding agreement and articles of association.

3. Definitions

In this policy, the term 'teacher' refers to classroom teachers, middle and senior leaders, and the Principal.

Where relevant, we have added further detail regarding arrangements for the Principal.

3.1 Early career teachers (ECTs)

Early career teachers (ECTs) starting their induction on or after 1 September 2021 are not subject to annual appraisal and pay review cycles during their induction period, and are not covered by this policy.

Arrangements for ECT appraisal will follow our ECT induction policy, and the [statutory induction process for ECTs](#), delivered in line with the Initial Teacher Training and Early Career Framework (ITTECF).

4. The appraisal period

Our appraisal period will run for a period of 12 months beginning on the first day of the autumn term. We will hold appraisals during the autumn term.

Teachers who are employed on a fixed-term contract of less than 1 year will have their performance managed in accordance with the principles underpinning this policy. The length of their appraisal period will be determined by the duration of their contract, and an individual teacher's objectives will take account of the length of their contract.

There is flexibility for a teacher to have a longer or shorter appraisal period when:

- They begin or end their employment during the appraisal period

Teachers should receive a written appraisal report as soon as practicable following the end of each appraisal period, by 31 October, and will have an opportunity to comment on it.

The Principal should receive a written appraisal report as soon as practicable following the end of each appraisal period, by 31 December, and will have an opportunity to comment on it.

In addition to the annual appraisal cycle, line managers will:

- Review and address teachers' performance on a regular basis in termly meetings with the teacher
- Maintain regular (termly) growth-focused check-ins to support ongoing professional development and wellbeing

5. Appointing appraisers

5.1 Principal appraisal

The Trust Board will conduct the Principal's appraisal meeting.

The Trust Board will typically delegate the Principal's appraisal to a sub-group of 2 or 3 Trustees with a wide range of experience and knowledge of the school. **This will not include any staff Trustees.**

To support the Principal's appraisal, the Trust Board will appoint an external adviser with relevant skills and experience. At Sparken Hill Academy, we continue to commission an external advisor in order to offer objective advice regarding evidence and appropriate targets. The adviser may be from the local authority or a neighbouring local authority, or be an external consultant.

5.2 Teacher appraisals

The Principal will decide who will appraise teachers. Unless there is a good reason not to, this will normally be the teacher's line manager. (For example, a 'good reason' could be a poor or deteriorating working relationship between the teacher and line manager, including where a formal grievance has been lodged by the teacher citing their line manager).

Appraisers appointed by the Principal will have qualified teacher status (QTS).

All appraisers will be provided with appropriate training.

6. Setting objectives

Teachers' objectives will be agreed at the annual appraisal meeting at the start of each appraisal period, and will be in place no later than 31 October.

The teacher and appraiser will aim to agree on the objectives together, but if this is not possible, the appraiser will determine the objectives. The teacher can record their disagreement on the appraisal statement and this will be taken into account at the appraisal review.

The Trust Board will set the Principal's objectives in consultation with an external adviser.

At the start of each appraisal period, or as soon as practicable after, appraisers will:

- Inform teachers of the standards that their performance will be assessed against
- Set out what evidence will be used when making judgements about a teacher's performance

Objectives will:

- Contribute to school improvement plans, giving priority to activities that build teacher expertise and positively impact pupil outcomes. To make sure this happens, the Principal will quality assure all objectives against our school improvement plan
- Be specific, measurable, achievable, realistic and time-bound (SMART)
- Be appropriate to the teacher's role and career experience
- Be proportionate and take into consideration the work-life balance of the teacher
- Have a strong focus on effective professional development to make sure the teacher stays up to date with the latest methodologies, technologies and educational research

Numerical targets will not be set if it is beyond the teacher's control to achieve them. If they are set, they will be taken into consideration in conjunction with all other elements of the teacher's performance and professional development.

If a teacher's circumstances change, for example due to maternity or long-term or serious illness, we will revise their objectives to take into account any anticipated absence and allow the teacher to meet reduced and attainable targets.

7. Standards

We will assess teachers against the [Teachers' Standards](#). The Principal, and other school leaders where relevant, will also be assessed against the [Headteachers' Standards](#).

We will also assess teachers' performance against the career stage expectations that we have developed.

For teachers who are qualified teachers by virtue of holding Qualified Teacher Learning and Skills (QTLS) status, it is for the Trust Board or Principal to decide which standards are most appropriate.

8. Reviewing performance (including observation protocol)

Appraisers will set out what they will take into account when making judgements as to whether teachers have met their objectives and relevant standards.

Evidence used in the performance management process will:

- Directly relate to the objectives and be agreed upon in advance
- Be readily available from day-to-day practice

This might but does not have to include:

- Improvements in specific element of practice such as behaviour management, development of pedagogy or providing feedback
- Impact on effectiveness of teachers or other staff
- Wider contributions to the work of our school
- Active participation in professional learning and the positive impact on the teacher's practice

Types of evidence we will consider, in conjunction with pupil outcomes, include:

- Formal and informal lesson observations
- Observations and results from wider school activities, if applicable
- Reviews of planning and marking
- Parent and pupil voice, if applicable
- Quality of CPD courses completed
- Peer observations
- Contributions to staff training or mentoring

8.1 Observation protocol

We believe that observations are an important way to monitor the impact of CPD. They can also help to identify how we can best support teachers, and identify areas of good practice that can be shared across the school.

There will be both formal and 'drop in' observations. Teachers with responsibilities outside the classroom will also have these responsibilities observed.

All observations will:

- Be carried out in an objective, fair, professional and supportive manner
- Be carried out by teachers with Qualified Teacher Status
- Be reported accurately and fairly
- Be reasonable and proportionate
- Be focused on development
- Be followed by constructive feedback
- Remain confidential to those who need to know details as part of their jobs

8.2 Drop-in observations

Drop-in observations will be informal visits to gauge CPD application and understand teachers' learning needs.

They will usually be conducted by SLT members.

We will give one week's notice of drop-in observations.

Drop-in observations will usually last around 15-20 minutes, and may involve the observer talking to pupils and looking at their work.

The frequency will depend on the individual teacher and the school's needs at the time.

Generally, the observer will provide verbal feedback the following day.

We will use all reasonable endeavours to provide written feedback within 5 working days.

Please note that we also carry out drop-in observations where fellow teachers observe a lesson for their own professional development. Notice may not be given and we will not use this as evidence as part of the appraisal process.

8.3 Formal observations

The purpose of formal observations is to assess a teacher's performance and progress against their objectives and the relevant standards.

We will take into account a teacher's workload and individual circumstances when determining the number of formal observations we carry out over the year. For example, teachers who have less experience or who have recently started at our school will receive more frequent formal observations than more experienced teachers to establish strengths and areas for growth and development.

Teachers will not receive more than 3 formal observations over the year. Usually this is two.

We will carry out additional formal observations only if:

- A teacher requests them
- There are concerns that a teacher's performance is not up to standard (this may be triggered by poorly behaved pupils, or any significant concerns arising from the evidence)
- The teacher is subject to formal capability proceedings

Generally, teachers will receive verbal feedback the same day but at the latest, the following day.

We will use all reasonable endeavours to provide written feedback within 5 working days.

9. Annual assessment and appraisal meeting

The appraisal meeting is the end point of the annual appraisal process and will take place in the autumn term. It will be scheduled so that the written report and new objectives can be issued by 31 October. In this meeting, the appraiser will:

- Review the relevant evidence
- Assess performance in the appraisal period against the relevant standards and objectives
- If necessary, discuss any difficulties the teacher may be facing in achieving objectives and put a plan in place to address this

The appraiser and teacher will also:

- Have a reflective discussion about the teacher's CPD journey, progress, needs and career development/aspirations, and identify action that should be taken
- Discuss the teacher's workload, wellbeing, working hours and flexible working opportunities in a supportive manner

Appraisal meetings will take place within the teacher's normal working hours and will typically last for at least 1 hour. We therefore recommend scheduling appraisal meetings for an hour and a half.

10. Appraisal report

Teachers will receive a written report of their appraisal, completed by the person who conducted the appraisal. We will use all reasonable endeavours to complete reports within 5 working days of appraisal meetings.

The 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, including details of the teacher's strengths
- An assessment of the teacher's training and development needs, and identify any action that should be taken to address them
- Details of a discussion on wellbeing and workload and career progression/aspirations
- A recommendation on pay progression

There will be space in the report for the teacher's own comments.

A review meeting will take place to discuss the content of the report and any further action required and to inform objective setting for the next appraisal cycle. In some circumstances, an interim review meeting may be appropriate.

Teachers will sign the appraisal report to say they have seen it and agree with its content. Teachers can appeal to the Principal, and the Principal can appeal to the Trust Board, if they disagree with the contents of the report and the pay recommendation it makes.

11. Concerns about a teacher's performance

If during the appraisal period it becomes clear that a teacher is having difficulties, the school will provide the teacher with informal support. This process will be supportive and will give the teacher and their line manager the opportunity to talk openly and honestly about the teacher's difficulties and the support they need to improve and refine their skills.

Teachers will not be placed in capability procedures without first undergoing this period of informal support, except in the most serious cases of persistent failures to meet job expectations and teaching standards, resulting in negative consequences on our pupils and school.

11.1 Informal support

Informal support will begin with a meeting between the teacher and their appraiser to:

- Inform the teacher that they will be receiving informal support due to concerns about their performance
- Give clear and specific feedback to the teacher about the nature and seriousness of the concerns
- Give the teacher the opportunity to comment and discuss the concerns
- Set clear objectives and timescales for required improvement
- Agree any support (e.g. coaching, mentoring, structured observations), that the school will provide to help address those specific concerns and drive improvement
- Make clear how, and by when, the appraiser will review progress

During the meeting, the appraiser will also explain the implications and process if no, or insufficient, improvement is made -- e.g. the commencement of capability procedures.

11.2 Duration of support

The school will provide informal support for a minimum of 6 weeks to allow for an improvement in the teacher's performance.

The school will decide on the duration support, taking into consideration the seriousness of the concerns, the teacher's specific circumstances, and the type of informal support provided.

The appraiser will meet the teacher regularly to assess progress and ensure the agreed support is being provided.

11.3 Review of progress

When informal support has been completed, the appraiser will meet the teacher to review progress. If the appraiser is satisfied that the teacher has made, or is making, sufficient improvement in their performance, the appraisal process will continue as normal, with any remaining issues continuing to be addressed through the normal appraisal process.

11.4 Transition to capability procedures

If a teacher demonstrates serious underperformance or has not responded to the informal support process, we will notify the teacher in writing that:

- The appraisal system will no longer apply to them
- Their performance will be managed under the capability procedure
- They will be invited to a formal capability meeting

We will also seek specialist advice from our HR provider at this stage, as appropriate.

We may also trigger disciplinary procedures in cases of misconduct or breach of professional standards. These are 2 separate procedures but, if appropriate to the circumstances, they can run concurrently.

12. Confidentiality

The appraisal process and relevant documents are strictly confidential. Only staff members who need the information in order to do their jobs will have access to the information.

Appraisal information will be anonymised when information is reported to the Trust Board.

Appraisal records will be kept securely in the teacher's personnel file.

13. Monitoring arrangements

The Trust Board will monitor and review the effectiveness of the appraisal arrangements. The Principal will monitor objectives and assessments to ensure consistency.

This policy will be reviewed every three years.

The Trust Board will be responsible for approving this policy.

14. Links with other policies

This policy should be read in conjunction with our capability and pay policies.

The capability policy will be used where this appraisal policy has not been able to address concerns about a teacher's performance. It applies to all staff, not just teaching staff.

The early career teacher (ECT) induction policy sets out the appraisal and pay arrangements for ECTs.

The pay policy sets out how pay increases will be awarded, following the completion of a teacher's appraisal.

Appendix 1: Appraisal Timeline

Date	Action
First day of autumn term	New 12-month appraisal cycle begins
September to mid-October	Annual appraisal meeting: review of the previous cycle and pay recommendation; new objectives agreed and teachers informed of the standards and evidence that will be used
31 October (outside date)	All teacher appraisal reports issued and new objectives in place
31 December	Principal's appraisal completed by the Trust Board and report issued
Spring term (usually February)	Mid-year review meeting
Summer term (usually July)	End-of-year progress check to gather evidence ahead of the autumn appraisal meeting
Throughout the year	Formal and drop-in observations and monitoring take place, constructive feedback is provided



SPARKEN HILL
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Teacher Appraisal Objective Setting / Review Statement

20yy - yy

Name of teacher:

Date of meeting:

Career Point:

Main Scale M1-M6	☒
UPS	☐
TLR	☐
LEADERSHIP	☐

Name:

Name of Appraiser:

Signature:

Signature:

Date:

Date:

Signature of Principal:

Date:

1. GENERAL / PERSONAL REVIEW NOTES:

2. Pre Appraisal Meeting - Teacher Self Review 20yy-yy

What have your successes been over the past year in relation to the following	Notes/Evidence/Dates
Pupils? - standards/attainment - progress - behaviour / attitude - attendance - contributions	
Curriculum development? - developed / improved resources - increased personal knowledge - use of assessment procedures - contribution to wider curriculum e.g. sports clubs	
Support for wider aspects of school life? - more efficient systems/processes introduced - contributed to policy development - member of a working/project group?	
Support for other staff/ team members and impact? - shared new knowledge or skills - built significant relationships - mentored/coached a colleagues	

What have your successes been over the past year in relation to the following	Notes/Evidence/Dates
What learning or development opportunities have you experienced over the year and its impact? - professional learning courses/networks/events - shadowing colleagues - peer reviews - learning from observation	
What areas do you feel you need to focus on in the coming year (and what support/professional learning do you need)? • Pupils? • Curriculum? • School? • Team? • Personal development?	

3. ANNUAL REVIEW OF LAST YEAR PERFORMANCE 20YY-YY

Objective	Extent to which Success Criteria have been met	Evidence (against success criteria set)
20yy-yy (Target 1) Teaching		
20yy-yy (Target 2) School/Team Plan		

20yy-yy (Target 3) Pupil Progress		
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Additional areas of work:- achievements	Evidence
Courses attended this year:	Evidence

4. Recommendation for Pay Progression

Name of Appraisee:

Post held:

The above named appraisee is eligible for pay progression.

Based on the evidence available at the final review of overall performance for year:

I can ☐ I cannot ☐ recommend this teacher for pay progression

Signed: (appraisal lead)

Signed: (Principal)

Date:

5. Strategic Targets – Review of Teacher Standards and Career expectation discussion

Existing Pay point (please Circle)

M1	M2	M3	M4	M5	M6*	UPS1	UPS2	UPS3	Leadership
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(Appraisers – please bear in mind the Teacher Standards and career stage expectation when setting targets – If candidate is considering UPS, please see separate expectations and application form)

Teachers' standards Part One: Teaching	Pay Band A Impact criteria for points 1-2	Pay Band B Impact criteria for points 3-4	Pay Band C Impact criteria for points 5-6	Pay Band D Impact criteria for UPR points 7-9
Impact on Pupil's Learning and Progress <i>(Taking into account a range of evidence including: lesson observation, work analysis and validated tracking data)</i>				
1. Set high expectations which inspire, motivate and challenge pupils	Teaching securely meets the Teachers' Standards and is improving over time, with feedback acted on promptly <i>(support provided through induction)</i>	Teaching consistently meets the Teachers' Standards and is adapted so that most pupils, including those with SEND and disadvantaged pupils, learn the intended curriculum well	Teaching is consistently strong across the curriculum; assessment is used precisely to adapt teaching, so that pupils, including those with SEND and disadvantaged pupils, achieve well from their starting points	Teaching is highly effective and sustained over time; the teacher models expert practice and pupils consistently achieve well from their starting points
2. Promote good progress and outcomes by pupils				
3. Demonstrate good subject and curriculum knowledge	Typically, the majority of pupils make expected progress in learning from their starting points that year with some making better than expected progress taking account of national patterns of progress and the extent to which pupils need to make accelerated progress within the year.	Typically, the majority of pupils make expected progress in learning from their starting points that year with some making better than expected progress taking account of national patterns of progress and the extent to which pupils need to make accelerated progress within the year.	Typically, the majority of pupils make expected progress in learning from their starting points that year with some making better than expected progress taking account of national patterns of progress and the extent to which pupils need to make accelerated progress within the year.	Typically, the majority of pupils make expected progress in learning from their starting points that year with some making better than expected progress taking account of national patterns of progress and the extent to which pupils need to make accelerated progress within the year.
4. Plan and teach well - structured lessons				
5. Adapt teaching to respond to the strengths and needs of all pupils				
6. Make accurate and productive				

use of assessment				
Impact on pupils' behaviour and safety <i>(Taking into account a range of evidence including lesson observations and pupil voice)</i>				
7. Manage behaviour effectively to ensure a good and safe learning environment	Teachers consistently implement the school's expectations of behaviour and safety so that increasing numbers of pupils respond positively.	Teachers consistently implement the school's expectations of behaviour and safety so that typically nearly all pupils respond positively.	Teachers consistently implement the school's expectations of behaviour and safety so that nearly all pupils respond positively.	Teachers consistently implement the school's expectations of behaviour and safety so that nearly all pupils respond positively.
	Typically, nearly all pupils exhibit well developed learning behaviours that support their own and others' learning	Typically, nearly all pupils exhibit well developed learning behaviours that support their own and others' learning	Typically, nearly all pupils exhibit well developed learning behaviours that support their own and others' learning	Typically, nearly all pupils exhibit well developed learning behaviours that support their own and others' learning
Impact on wider outcomes for pupils <i>(Taking into account a range of evidence including lesson observations)</i>				
8. Fulfil wider professional responsibilities	Typically, a significant majority of pupils (taking into account developmental stage) are able to, for example,:	Typically, nearly all pupils (taking into account developmental stage) are able to, for example,:	Typically, nearly all pupils (taking into account developmental stage) are able to, for example,:	Typically, nearly all pupils (taking into account developmental stage) are able to, for example,:
	- reflect on their own learning - distinguish between right and wrong - work with others - respect the values and beliefs of others - identify questions to answer & problems to resolve/solve - seek out challenges and show flexibility when priorities change - think creatively, generating and exploring ideas	- reflect on their own learning - distinguish between right and wrong - work with others - respect the values and beliefs of others - identify questions to answer & problems to resolve/solve - seek out challenges and show flexibility when priorities change - think creatively, generating	- reflect on their own learning - distinguish between right and wrong - work with others - respect the values and beliefs of others - identify questions to answer & problems to resolve/solve - seek out challenges and show flexibility when priorities change - think creatively, generating	- reflect on their own learning - distinguish between right and wrong - work with others - respect the values and beliefs of others - identify questions to answer & problems to resolve/solve - seek out challenges and show flexibility when priorities change - think creatively, generating

		and exploring ideas	and exploring ideas	and exploring ideas
Impact on the effectiveness of other teachers and support staff				
8. Fulfil wider professional responsibilities	Effective deployment of teaching assistants and adults other than teachers (AOTTs) <i>(lesson observations)</i>	Effective deployment of teaching assistants and adults other than teachers (AOTTs) <i>(lesson observations)</i>	Contribute to improved practice of other teachers and support staff <i>(lesson observations)</i>	Make a substantial and sustained contribution to improved practice of teachers and support staff across the school <i>(lesson observations)</i>
Wider contribution to the work of the school				
8. Fulfil wider professional responsibilities	Make a regular contribution beyond the classroom which adds to the ethos of the school <i>(documentation e.g. extra-curricular/participation in a learning community etc.)</i>	Lead a regular contribution beyond the classroom which adds to the ethos of the school <i>(documentation e.g. extra-curricular/leading staff meetings etc.)</i>	Lead a regular and significant contribution to represent the school within the community which adds to the ethos of the school	Add to the ethos of the school by leading a substantial and sustained contribution to the wider life of school & developing contributions of others
Specific elements of practice				
All Teachers' Standards	Appraisal objectives are met Teachers' standards are met at the appropriate career stage making use of the staged exemplification of teacher standards	Appraisal objectives are met Teacher standards are met at the appropriate career stage making use of the staged exemplification of teacher standards	Appraisal objectives are met Teacher standards are met at the appropriate career stage making use of the staged exemplification of teacher standards	Appraisal objectives are met Teacher standards are met at the appropriate career stage making use of the staged exemplification of teacher standards

5. TARGET SETTING FOR CURRENT YEAR – 20XX-YY

Priority:			
A. Action Agreed		Timescale including review dates	
Outcomes:		By 31 October 20yy	
Teacher Standards	Pupil Progress	Leadership and Management	School/Team Improvement Plan
			
A. Action Agreed		Timescale including review dates	
CPD Support Agreed			
Staff meeting time dedicated to reinforcing			
Monitoring and evaluation methods			
Additional areas of work for consideration			
Appraisee comments			
(Name) agree that this is an accurate record of the outcomes of the appraisal review/objectives setting meeting. Signed..... Date Comments			

Date of this meeting:

Proposed date of mid-year review meeting (usually February):

Proposed date of annual review meeting (by 31 October):

