

St. Thomas of Canterbury Catholic Academies Trust



**Thomas Becket
Secondary**



**St. Gregory's
Primary**



**St. Mary's
Primary**



**The Good Shepherd
Primary**

Inspired by Christ, to achieve excellence, to serve and to build hope for all

APPRAISAL POLICY FOR TEACHERS

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THIS POLICY DOES NOT CREATE ANY CONTRACTUAL OBLIGATIONS ON ST THOMAS OF CANTERBURY CATHOLIC ACADEMIES TRUST			

DEFINITIONS

In this Appraisal Policy and Procedure, unless the context otherwise requires, the following expressions shall have the following meanings:

- i. 'Trust' means the schools and academies who belong to the St Thomas of Canterbury Catholic Academies Trust named at the beginning of this Appraisal Policy and Procedure and includes all sites upon which the academy undertaking is, from time to time, being carried out.
- ii. St Thomas of Canterbury Catholic Academies Trust is responsible for the management of the school/academy and, for all purposes, means the employer of staff at the school/academy. The Trust also employs staff working directly to the Chief Executive of the Trust.
- iii. 'Board' means the Board of Directors of the St Thomas of Canterbury Catholic Academies Trust.
- iv. 'Chair' means the Chair of the Trust Board or the Chair of the Local School Committee appointed from time to time, as appropriate.
- v. 'Clerk' means the Clerk to the Trust Board or the Clerk to the Local School Committee appointed from time to time, as appropriate.
- vi. 'Companion' means a willing work colleague not involved in the substance of the employee's performance under review by this Appraisal Policy and Procedure, or an accredited trade union representative or an official employed by a trade union who will be expected to make themselves available for the periods of time necessary to meet the timescales under this Appraisal Policy and Procedure.
- vii. 'Diocesan Schools Commission' means the education service provided by the diocese, which may also be known, or referred to, as the Diocesan Education Service.
- viii. 'Directors' means Directors appointed to the Trust Board.
- ix. 'External Adviser' means a suitably skilled and/or experienced person who may be appointed by the Trust Board to support the Trust Board to appraise the Headteacher in accordance with this Appraisal Policy and Procedure. The External Adviser must be familiar with the particular needs of a Catholic voluntary academy e.g. the development of the Academy's ethos.

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- x. 'Trust Board' means the body carrying out the employment functions of the Trust and such term may include the Board of Directors and/or a Local School Committee of the Trust.
- xi. "Local School Committee Representatives' (LSC) means the Local School Committee representatives/members appointed and elected to carry out specified functions delegated by the Trust in relation to each of the schools/academies, from time to time.
- xii. 'Standards' means the relevant standards incorporated into the Teacher's contract of employment which may be the Teachers Standards published by the DfE in 2012 or any subsequent revisions thereof.
- xiii. 'Teacher' means a teacher employed by the Trust to work at a school or academy and, where the context so admits, includes the Headteacher.
- xiv. 'Vice-Chair' means the Vice-Chair of the Trust Board or the Vice-Chair of the Local School Committee elected from time to time, as appropriate.

1. APPLICATION

- 1.1 Subject to Paragraph 1.2 below, this Appraisal Policy and Procedure applies to you if you are an employee or worker at the School or Academy and are a teacher or Headteacher (hereinafter referred to as an "employee" or "you").
- 1.2 This Appraisal Policy and Procedure does not apply to Teachers employed under a contract of employment for less than one term, those undergoing induction (i.e. Newly Qualified Teachers) and those who are subject to the Trust's Capability Policy and Procedure.

2. SCOPE

- 2.1 The purpose of this procedure is to establish a framework for a clear and consistent assessment of the overall performance of Teachers and for supporting their development within the context of the Trust's plan for improving educational provision and performance. The assessment shall have regard to the Teachers' Standards¹ and other applicable codes of practice such as the SEND Code of Practice where relevant.
- 2.2 The Trust is committed to ensuring respect, objectivity, belief in the individual, consistency of treatment and fairness in the operation of this policy. This commitment extends to promoting equality of opportunity and eliminating unlawful discrimination through the Trust community

¹ Teachers' Standards in England

- 2.3 Where concerns raised about a Teacher's performance cannot be resolved through this Appraisal Policy and Procedure, there will be consideration of whether to invoke the Academy's Capability Policy and Procedure.
- 2.4 This Appraisal Policy and Procedure does not form part of any other procedure but relevant information on appraisal, including Appraisal Reports, may be taken into account in relation to other applicable policies and procedures.
- 2.5 An employee is entitled to have access by arrangement to their personnel file and to request the deletion of time expired records in line with the provisions of the General Data Protection Regulations (GDPR)
- 2.6 The Trust delegates its authority in the manner set out in this policy.

3. APPRAISAL IN A CATHOLIC CONTEXT

- 3.1 Teaching, as a 'work of love, requires a radical commitment and service from all teachers, whatever their faith and whatever point they have reached on their spiritual journey': "The Church looks upon you as co-workers with an important measure of shared responsibility...To you it is given to create the future and give it direction by offering your students a set of values with which to assess their newly discovered knowledge...[The changing times] demand that educators be open to new cultural influences and interpret them for young pupils in the light of Christian faith. You are called to bring professional skills and competence and a high standard of excellence to your teaching...But your responsibilities make demands on you that go far beyond the need for professional skills and competence...Through you, as through a clear window on a sunny day, students must come to see and know the richness and joy of a life lived in accordance with Christ's teaching, in response to his challenging demands. To teach means not only to impart what we know, but also to reveal who we are by living what we believe. It is this latter lesson which tends to last the longest"². The Trust recognises the challenge for all teachers in carrying out their 'work of love' and is committed to nurturing them throughout their professional careers.
- 3.2 Appraisal 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 within the context of the Academy's ethos. It will help to ensure that Teachers are able to continue to improve their professional practice and to develop as teachers.
- 3.3 Arrangements for appraisal will be conducted in such a way that employees will be secure in the knowledge that their progress and commitment to the Trust are acknowledged.
- 3.4 Appraisal is a time to celebrate achievement wherever possible, as well as for discerning where there is scope for development. Challenge is at the heart of the Gospels. Christ challenged all whom he encountered, each according to their needs and readiness.

² Christ at the Centre – a summary of why the Church provides Catholic Schools – Bishops' Conference and Catholic Education Service.

3.5 This Appraisal Policy and Procedure offers opportunities to ensure justice for Teachers and pupils alike and has the potential for the expression of Christian qualities such as honesty, self-knowledge, respect for others and their gifts, recognition of the needs and achievements of others, challenge of self and others, personal growth and openness.

4. THE APPRAISAL PERIOD

4.1 The Appraisal Period will run for twelve months from September 2019 to September 2020

4.2 Teachers who are employed on a fixed-term or temporary contract of less than one year will have their performance managed in accordance with the principles underpinning this Appraisal Policy and Procedure. The length of the Appraisal Period will be determined by the duration of their contract of employment.

4.3 Where a Teacher starts their employment at the school or academy part-way through the school/academy's usual Appraisal Period, the Headteacher or, in the case where the employee is the Headteacher, the Local School Committee shall determine the length of the Appraisal Period for that Teacher with a view to bringing his/her Appraisal Period into line with the school/academy's usual Appraisal Period (as per Paragraph 4.1 above) as soon as possible.

4.4 Where a Teacher transfers to a new post within the school/academy part-way through an Appraisal Period, the Headteacher or, in the case where the employee is the Headteacher, the Local School Committee shall determine whether the Appraisal Period should be re-set and whether the Appraiser should be changed.

5. APPOINTING APPRAISERS

5.1 The table below sets out the persons to be appointed to appraise employee performance during the Appraisal Period depending on the employee who is being appraised:

<i>Employee Level</i>	<i>Appraiser</i>
Headteacher	A panel appointed by the Trust Board in accordance with Paragraph 5.3 and maybe supported by an External Adviser
Teacher	A person appointed by the Headteacher

5.2 In carrying out its duties in accordance with Paragraph 5.1, the Trust Board may consider appointing a suitably skilled and/or experienced External Adviser to support the Trust to appraise the Headteacher.

5.3 The task of appraising the Headteacher, including the setting of objectives in accordance with Paragraph 6 below, will be delegated by the Trust to a sub-group consisting of the CEO and at least 2 Trust Board Directors/Local School Committee Representatives and such sub-group will be supported by the External Adviser appointed in accordance with Paragraph 5.2 above.

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- 5.4 The Trust Board may also seek advice from other external advisers including, but not limited to, the Diocesan Schools' Commission.
- 5.5 Where it becomes apparent that an Appraiser appointed by the Headteacher will be absent for the majority of the Appraisal Period, the Headteacher may perform the duties of the Appraiser or delegate those duties to another Teacher for the duration of the absence.
- 5.6 Where an employee has a reasonable objection to the choice of Appraiser, their concerns may be carefully considered and, where it can be reasonably accommodated, an alternative appraiser may be offered.

6. SETTING OBJECTIVES

General

- 6.1 Appraisal objectives should reflect the Catholic identity and mission of the Trust and the values it proclaims³ and Appraisers are expected to explore the alignment of such objectives with the Trust's priorities and plans, working at all times to ensure that the Catholic ethos is preserved and maintained.
- 6.2 The Appraiser and the employee will seek to agree a realistic number of objectives which shall be reasonably achievable during the course of the appraisal period taking into account the professional development aspirations of the teachers. Objectives may be revised if circumstances change. The Trust operates a system of moderation to ensure that all Appraisers are working to the same Standards. Targets will be moderated across the schools and academies and the Trust to ensure that they are consistent between employees with similar experience and levels of responsibility. Should the objectives not be agreed, a record of the employee's relevant comments shall be added to the appraisal documentation but the final decision on allocation of objectives rests with the Appraiser.
- 6.3 The objectives set for each Teacher will, if achieved, contribute to the school/academy's plans for improving educational provision and performance and improving education of the pupils at the school/academy. This will be ensured by quality assuring all objectives against the school and Trust improvement plans.
- 6.4 Objectives, where met, should contribute to improving the progress, development and well-being of pupils at the school/academy as understood in relation to the Catholic nature of the school/academy and so include the academic, spiritual, moral, social, emotional and cultural development of each pupil.
- 6.5 The objectives set for Teachers will be Challenging, Specific, Measurable, Achievable, Realistic and Time-bound and will be appropriate to the Teacher's role and level of experience.
- 6.6 The Appraiser may take into account the school's/academy's work life balance strategy and the effects of an individual's circumstances, including any disability requiring the implementation of reasonable adjustments, when agreeing objectives.

³ Such values should include the principles of Catholic social teaching in respect of justice for all, the needs of the whole person, respect for the individual and the community and the preferential option for the poor.

6.7 Following discussion between the Appraiser and the employee, set objectives may be revised by the Appraiser in accordance with the needs of the school/academy and the Teacher, and any such revision(s) to set objectives will be recorded in writing.

Headteacher

6.8 In accordance with Paragraph 5, the Headteacher's objectives will be set by the CEO and Trust Board in consultation with the External Adviser before, or as soon as reasonably practicable after, the start of each Appraisal Period and the Headteacher will be informed of the Standards against which their performance will be appraised in that Appraisal Period.

Teachers

6.9 Objectives for each Teacher will be set before, or as soon as reasonably practicable after, the start of each Appraisal Period and Teachers will be informed of the Standards against which their performance will be appraised in that Appraisal Period.

7. REVIEWING PERFORMANCE

Gathering Evidence

In order to assess performance, the Appraiser will need to rely on the available evidence obtained in connection with the Teacher's performance. This may include classroom observations, task observations, reviews of assessment results, reviews of lesson planning records, internal tracking, moderation within and across schools/academies, Pupils' Voice, Parents' Voice, Headteachers' walkabouts and evidence supporting progress against Standards.

Observation/Monitoring

7.1 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 and of gaining useful information which can inform school/academy improvement more generally.

7.2 Teachers' performance will be regularly observed but the amount and type of classroom observation will depend on the individual circumstances of the Teacher and the overall needs of the school/academy. All observation will be carried out in a supportive fashion with strengths and areas for development shared as part of developing practice.

7.3 Unless it is not reasonably practicable, at least 5 working days' notice of the date and time of the observation will be given to the Teacher and verbal feedback will be provided by at least the end of the next school/academy day with written feedback within 5 working days.

7.4 Classroom observation will only be carried out by those with Qualified Teacher Status.

7.5 In addition to formal observation, the Headteacher or any other senior leader with responsibility for teaching standards may "drop in" in order to evaluate the standards of teaching and to check that high standards of professional performance are established and maintained. The length and frequency of "drop in" observations will vary depending on the specific circumstances but will be reasonable.

- 7.6 Teachers who have responsibilities outside the classroom should also expect to have their performance of those responsibilities observed and assessed.
- 7.7 For the purpose of professional development, feedback about lesson observations should be developmental, not simply a judgment using Ofsted grades.

Development and Support

- 7.8 Appraisal is a supportive process which will be used to inform Teachers' continuing professional development. The Trust wishes to encourage a culture in which all Teachers take responsibility for improving teaching through appropriate professional development. Professional development will be linked to the school/academy's improvement priorities and to the ongoing professional development needs and priorities of individual Teachers.
- 7.9 Account will be taken in a review meeting of where it has not been possible for employees to fully meet their performance criteria because the agreed support has not been provided.

Informal Action

- 7.10A Teacher's line manager may identify concerns on an informal basis at any time about any performance falling short of the standard expected.
- 7.11A Teacher's line manager may also provide informal advice and appropriate support which may include training, coaching, mentoring, counselling, monitoring, working in a professional learning community, learning and development opportunities, supervision, occupational health, arrangements for observation of lessons taught by other teachers at the Academy or elsewhere or discussing practice with advisory teachers.
- 7.12 Informal action could include establishing the expectations that the school/academy and/or Trust has of the Teacher and what support may be provided to help the Teacher to meet those expectations.
- 7.13 Informal action may be recorded in writing and may be referred to at a later stage as evidence that an informal approach was attempted and the success or failure of such an approach.

Alternative Action

- 7.14 There may be a situation where the Teacher's line manager and/or the Appraiser considers that a recent promotion or job change has been a contributory factor in any unsatisfactory performance and that informal action has been, or is unlikely to be, effective.
- 7.15 The line manager/Appraiser may offer the Teacher the option of taking a voluntary demotion as an alternative (providing there is a suitable vacancy) to proceeding with action under this Appraisal Policy and Procedure, specifically Paragraph 9.

8. ANNUAL ASSESSMENT

- 8.1 In assessing the performance of the Headteacher the Trust Board may consider consulting an External Adviser in accordance with Paragraph 5.
- 8.2 Teachers performance will be formally assessed in respect of each Appraisal Period.

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- 8.3 This assessment is the end point to the annual Appraisal Period but performance and development priorities will be reviewed and addressed on a regular basis throughout the year at interim meetings (which may be in person or via telephone, email or other appropriate medium) which will take place once every two terms.
- 8.4 The Teacher will receive, as soon as practicable following the end of each Appraisal Period, but normally by no later than 31st October for teaching staff and 31st December for the Headteacher, a written Appraisal Report. The Teacher will have the opportunity to comment on the Appraisal Report in writing.
- 8.5 The Appraisal Report will include:
- (a) Details of the Teacher's objectives for the relevant Appraisal Period;
 - (b) An assessment of the Teacher's performance of their role and responsibilities against their objectives and the relevant Standards;
 - (c) An assessment of the Teacher's training and development needs and identification of any action that should be taken to address them;
 - (d) A recommendation on pay where that is relevant (*NB – pay recommendations need to be made by 31st December for Headteachers and by 31st October for other teachers*);
 - (e) A space for Teacher's own comments
 - (f) A record of any concerns and actions taken to resolve these during the year.
- 8.6 A review meeting will take place to discuss the content of the Appraisal Report and any further action required and to inform objective setting for the next Appraisal Period.

9. TEACHERS (INCLUDING HEADTEACHERS) EXPERIENCING DIFFICULTIES

- 9.1 It is the Trust's aim, when dealing with a Teacher experiencing difficulties, to provide support and guidance through the appraisal process in such a way that the Teacher's performance improves and the problem is, therefore, resolved.
- 9.2 Where it is apparent that a Teacher's personal circumstances are leading to difficulties at work, the school/academy will aim to establish informally whether the reason is due to ill-health, lack of competence or misconduct. Support will then be offered and/or appropriate action taken as soon as reasonably practicable, without waiting for the Annual Assessment of performance (Paragraph 8). Support could include informal advice and appropriate support which may include training, coaching, mentoring, counselling, monitoring, working in a professional learning community, learning and development opportunities, supervision, occupational health, arrangements for observation of lessons taught by other teachers at the Academy or elsewhere or discussing practice with advisory teachers.
- 9.3 If an Appraiser identifies through the appraisal process, or via other sources of information, that the difficulties experienced by a Teacher are such that, if not rectified, could lead to the Trust's Capability Policy and Procedure being invoked, the Appraiser, the Headteacher or a member of the senior leadership team (as appropriate) will meet with the Teacher to:
- (a) Give clear written feedback to the Teacher about the nature and seriousness of the concerns;
 - (b) Give the Teacher the opportunity to comment on and discuss the concerns;
 - (c) Give the Teacher at least 5 working days' notice that a meeting will be held to discuss targets for improvement alongside a programme of support, and inform the Teacher that they have the right to be accompanied at any such meetings by a Companion;

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- (d) In consultation with the Teacher at the above meeting, an action plan with support will be established (e.g. coaching, training, in-class support, mentoring, structured observations, visits to other classes or academies or discussions with advisory teachers) that will help address those specific concerns;
- (e) Make clear how progress will be monitored and when it will be reviewed; and
- (f) Explain the implications and process if no, or insufficient, improvement is made.

9.4 The Teacher's progress will continue to be monitored as part of the appraisal process and a reasonable time given for the Teacher's performance to improve. This will depend on the circumstances but will usually be for a period of between 6 and 8 working weeks, with appropriate support as agreed in the action plan as per Paragraph 9.3(d) above, in order that the aim of recovering and improving performance can be achieved. During this monitoring period the Teacher will be given regular feedback on progress and arrangements will be made to modify the support programme if appropriate.

9.5 If sufficient progress is made such that the Teacher is performing at a level that indicates that there is no longer a possibility of the Trust's Capability Policy and Procedure being invoked, the Teacher should be informed of this at a formal meeting with the Appraiser or Headteacher. Following this meeting, the appraisal process will continue as normal.

9.6 If no, or insufficient, improvement has been made over this period, the Teacher will be invited to a transition meeting with the Appraiser to determine whether the Trust's Capability Policy and Procedure needs to be invoked or whether the appraisal process will remain in place. The Teacher will be given at least 5 working days' notice of such meeting and shall be entitled to be accompanied at the meeting by a Companion. The outcome of such meeting will be confirmed in writing to the Teacher within 5 working days of the meeting.

9.7 Prior to invoking the Capability Policy and Procedure, the Appraiser will seek to ensure that the Teacher has undergone an appropriate period of induction to their role, an up to date job description has been issued to them, professional standards and overall expectations of performance have been made clear and the Teacher's performance has been monitored and feedback has been provided.

9.8 The Appraisal Report does not form part of any formal capability or disciplinary procedures. However, any relevant information from the appraisal process may be taken into account by those responsible for taking decisions about capability.

10. APPEALS

10.1 Teachers have a right of appeal against any of the entries in the written Appraisal Report and a separate right of appeal against a decision to invoke the Trust's Capability Policy and Procedure made at a meeting under Paragraph 9.6 above. If an appeal relates to a decision about pay, the employee is referred to the Trust's Pay Policy and Procedure.

10.2 An appeal lodged in accordance with Paragraph 10.1 must be made in writing to the Trust HR Manager and lodged within 10 working days of receipt of the Appraisal Report or the letter confirming the outcome of the meeting under Paragraph 9.6.

10.3 Your appeal letter must set out the grounds of your appeal in detail.

- 10.4 The Appeal Meeting will normally be held within 20 working days of your appeal letter being received by the Trust HR Manager.
- 10.5 In the case of an appeal by the Headteacher, the Appeal Manager will be appointed by the Vice-Chair of the Trust Board. In the case of an appeal lodged by any other Teacher, the Appeal Manager will usually be the Headteacher unless they have participated in the appraisal review which is being appealed, in which case the Appeal Manager may be the Local School Committee Chair assisted by a representative appointed by the Trust.
- 10.6 The Appeal Manager will confirm the outcome of the Appeal Meeting in writing to you within 5 working days of the date of the Appeal Meeting. The decision of the Appeal Manager is final and there will be no further right of appeal. The outcomes of the Appeal Meeting are that:
- (a) the Appeal Manager may uphold the entries made in the Appraisal Report and/or the outcome of the meeting under Paragraph 9.6; or
 - (b) the Appeal Manager may uphold the employee's appeal and overturn the decision of the Appraiser. Where such appeal relates in whole or in part to entries in the Appraisal Report, the disputed entries shall be referred back to the Appraiser for reconsideration.
- 10.7 Where an appeal is against entries in the Appraisal Report and the outcome of a meeting under Paragraph 9.6, the appeals will be heard together.

11. COMPANION

- 11.1 Where a meeting is held under Paragraphs 9 or 10 above, you may be accompanied by a Companion.
- 11.2 You must let the person appointed to hold such meeting under Paragraphs 9 or 10 above know who your Companion will be at least one working day before the meeting.
- 11.3 If you have any particular reasonable need, for example, because you have a disability, you can also be accompanied by a suitable helper.
- 11.4 Your Companion can address the meeting in order to:
- (a) put your case;
 - (b) sum up your case;
 - (c) respond on your behalf to any view expressed at the meeting; and
 - (d) ask questions on your behalf.
- 11.5 Your Companion can also confer with you during the meeting.
- 11.6 Your Companion has no right to:
- (a) answer questions on your behalf;
 - (b) address the meeting if you do not wish it; or
 - (c) prevent you from explaining your case.

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11.7 Where you have identified your Companion and they have confirmed in writing to the relevant person appointed under Paragraphs 9 or 10 that they cannot attend the date or time set for the meeting, the relevant person will postpone the meeting for no more than five working days from the date set by the Academy to a date or time agreed with your Companion provided that it is reasonable in all the circumstances. Should your Companion subsequently be unable to attend the rearranged date, the meeting may be held in their absence or written representations will be accepted.

12 TIMING OF MEETING

Meetings under this procedure may:

- 12.1 need to be held when you were timetabled to teach;
- 12.2 exceptionally be held during planning, preparation and administration time if this does not impact on lesson preparation;
- 12.3 be held after the end of the school day;
- 12.4 not be held on days on which you would not ordinarily work;
- 12.5 be extended by agreement between the parties if the time limits cannot be met for any justifiable reason.

13 VENUE FOR MEETINGS

Any meeting held under Paragraph 9 may be held off the school/academy site to minimise any distress to the employee.

14 ASSISTANCE

Where matters fall to be decided under Paragraphs 9 or 10, the Diocesan Schools Commission may send a representative to advise the Academy.

15 REVIEW OF THIS PROCEDURE

This policy and procedure has been developed utilising a template produced by the Catholic Education Service (CES) in September 2013 and updated in June 2016 and again in May 2018 for use in Catholic Voluntary Academies in England following consultation with the national trade unions. It may be adapted, as appropriate, for use in joint Church academies subject to the approval of the CES on referral by the relevant Catholic diocese. This procedure will be reviewed by the CES in readiness for the academic year 2019/2020.