



# QUANTOCK

## EDUCATION TRUST

### **Appraisal Policy**

LINKS: Capability Policy, Probation Policy

DATE UPDATED: November 2024

POSTHOLDER RESPONSIBLE: Trust HR Director

TRUSTEE COMMITTEE: People, Performance, Pay & Recruitment

DATE RATIFIED: December 2024

AUDIENCE: All Trust Staff (except Early Career Teachers)

This policy will be reviewed annually on or before 30<sup>th</sup> December 2025

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# 1. Introduction

- 1.1 Quantock Education Trust is defined by its vision and values, which drives our practice and decision making. Through our workforce we aim to improve outcomes and ensure that every child fulfils their potential and makes excellent progress. Each employee is given the support to ensure that they have the skills they need to carry out their role and to help them continually improve and develop their practice.
- 1.2 Having an effective appraisal process in place is one of the ways we can support our employees and deal with performance matters as they arise. This involves effective day-to-day supervision, carrying out appraisals, providing development opportunities and operating a fair and reasonable capability process.
- 1.3 This appraisal policy has been developed to comply with current legislation including the Education (School Teachers' Appraisal) (England) Regulations 2012 (the Appraisal Regulations), that apply to teachers in all maintained schools. The Trust has decided to follow the principles of these regulations in developing and implementing this policy. These will also apply to support staff employed within the Trust to ensure consistency across all employees.
- 1.4 This policy has been implemented following consultation with staff and the recognised trade unions.
- 1.5 The Board of Trustees adopted this policy on xxx
- 1.6 This policy does not form part of any employee's contract of employment and may be amended after consultation with Trustees and Unions.

# 2. Scope and purpose of this policy

- 2.1 The purpose of this policy is to set out the framework for a clear and consistent assessment of the overall performance of all employees, and for supporting their development within the context of the Trust's plan for improving educational provision, performance and the set standards expected of each employee.
- 2.2 In this policy, the term 'teacher' refers to classroom teachers, middle and senior leaders and the headteacher. Where relevant, we have added further detail regarding arrangements for headteachers.
- 2.3 This Trust regards the Department for Education Teachers' Standards as the baseline of expectations for the professional practice and conduct of teachers, from the point of qualification.
- 2.4 In implementing this policy, the Trust will ensure that appraisal is managed in a way that minimises any increase in workload for all parties concerned, for example, reviewing the

number and frequency of meetings, and ensuring the process for collecting evidence is always proportionate.

- 2.5 This policy applies to all staff employed by the Trust including teachers and support staff and centrally employed staff within the Trust, except those on contracts of less than one term, those undergoing statutory induction (i.e. Early Career Teachers – ECTs) and those who are subject to the Trust's Capability Policy. It does not apply to agency workers.
- 2.6 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. Arrangement for ECT appraisal will follow our ECT induction policy and the [statutory induction process for ECTs](#)
- 2.7 Employees within a probationary period are subject to the Trust's Probationary Policy. On successful completion of the probationary period, employee's performance management will be covered by the Appraisal Policy.
- 2.6 Where an employee is not covered by this policy as set out above, then performance will be managed through regular supervision and feedback.

### 3. Roles, Responsibilities and Implementation

- 3.1. The People, Performance, Pay and Recruitment committee has overall responsibility for the effective operation of this policy and for ensuring compliance with the relevant statutory framework. This committee delegates day-to-day responsibility to Headteachers and senior staff across the Trust to ensure the fair application of this policy. Staff who are new to appraisal should attend appropriate training or be coached and supported by an experienced Appraiser.
- 3.2. All members of staff are responsible for familiarising themselves with their individual job description, person specification and terms of conditions of employment. Staff are encouraged to seek advice from their trade union representative as soon as they are made aware of concerns regarding their performance. Teaching staff must also ensure that their performance and conduct is in line with and in accordance with the Teachers' Standards.
- 3.3. The Trust's chosen platform for undertaking staff appraisal is via Arbor (or school equivalent prior to Arbor onboarding). Leaders and managers can monitor the effectiveness of objectives being set via Arbor and should ensure that appraisal objectives are linked to school objectives, suitably rigorous and subject to continuous review.
- 3.4. All appraisal activities for Teaching staff will ideally take place within teachers' directed time unless the appraiser/appraisee decide to use lunch time or PPA time at their own discretion.

## 4. The Appraisal Cycle

- 4.1. The appraisal period will run for twelve months from 30<sup>th</sup> September each year. Appraisal is an ongoing process, which falls into three stages (Appendix A):
- Performance objectives and development planning (1<sup>st</sup> July to 30<sup>th</sup> September)
  - Interim Review (February/March)
  - Final Assessment (prior to 30<sup>th</sup> September)
- 4.2. Employees who are employed on a fixed term contract of less than one year but more than one term will have their performance managed with the principles underpinning this policy. The length of the period and the employee's objectives will be determined by the duration of their contract.

## 5. Appointing appraisers

- 5.1. Headteachers will be appraised by the CEO and Trustees.
- 5.2. The Director of Finance and Operations will be appraised by the Chair of the Trust and the CEO. The CEO will be appraised by the Chair and Vice-Chair of the Board of Trustees.
- 5.3. Central Trust staff will be appraised by the CEO and/or the Director of Finance and Operations or the Director of HR depending on their level of seniority and job role.
- 5.4. Headteachers (with support from the CEO) will appraise members of their own Senior Leadership Teams.
- 5.5. Headteachers will decide who will appraise all other employees.
- 5.6. Due regard will be paid to the workload of appraisers and the number of appraisees for each appraiser will be kept within manageable limits as agreed with their line manager.
- 5.7. Employees will be notified of who their appraiser will be, before or as soon as practicable after the start of each appraisal period.

## 6. The Appraisal Meeting and Setting of Objectives

### **All employees**

- 6.1. Objectives for each employee will be set before or as soon as practicable after, the start of each appraisal period. The objectives will be Specific, Measurable, Achievable, Realistic and Time-bound (SMART) and should be stretching and developmental. The appraiser and appraisee will seek to agree the objectives but, if that is not possible, the appraiser will determine the objectives. The Headteacher's objectives will be set by CEO and Chair of the LGC. The Trust has

a duty to have a regard to the work life balance of all employees and the objectives will reflect this.

6.2 Each employee will set no more than three objectives with an emphasis on the following;

- Personal career development: A focus upon professional development/interests appropriate to role and career level.
- Developing professional practice: A focus on relevant school determined standards and/or, competencies, skills and behaviours as set out in the Teacher Standards.
- Supporting whole-school/Trust improvement priorities: A focus on how each individual can contribute to the priorities set out in the School Improvement Plan or at Trust level, how a colleague may contribute to the developing culture of the Trust; its values and ethos. This applies to all teaching staff and support staff.

6.3 Objectives may be revised if circumstances change throughout the year, such as, but not limited to an employee going on maternity leave, or undergoing surgery / medical treatment, to take account of the anticipated absence and to allow for the employee to meet reduced and attainable objectives.

6.4 The objectives set for each employee will, if achieved, contribute to the following:

- The school and Trust's plans for improving educational provision and performance and improving the education of pupils, or
- Improving the quality and efficiency of service provision facilitating and enhancing the core focus of education, and
- Towards an individual's own continuing professional development.

6.5 The Headteacher, together with the senior leadership team will be responsible for quality assuring objectives against school improvement plans.

6.6 Objectives for senior leaders should reflect their whole school leadership and management responsibilities and match school improvement plans, the Trust vision and the professional standards applicable to their individual role.

6.7 Each employee will have an Arbor account (where appropriate) to view their objectives and feed into the appraisal process. The evidence added to Arbor builds an online portfolio and supports employees to monitor their strengths and development needs and allows them to take responsibility for their own progression.

### **Teachers**

6.8 With the exception of those who are qualified teachers by virtue of holding and maintaining Qualified Teacher Learning and Skills (QTLS) status, all teachers must be assessed against the set of standards contained in the document called "Teachers' Standards" published in July 2011 and updated in 2021. ***Teachers Standards – Appendix B***

- 6.9 In meeting the additional responsibilities of Headship, Headteachers, must also be assessed against the Headteachers' standards 2020 *Headteachers Standards – Appendix C*
- 6.10 For teachers who are qualified teachers by virtue of holding QTLS status, it is for the Headteacher to decide which standards are most appropriate.

### **Support Staff**

- 6.11 Support staff will be assessed against the support staff Core Standards (where appropriate), including the Professional Standards for Teaching Assistants contained in the Trust's Learning Support Assistant Handbook and any other relevant school determined standards, competencies, skills and behaviours and their job description and/or the person specification.

## **7. Reviewing Objectives**

### **Teachers**

- 7.1 See Section 17 for more detail on the ongoing monitoring, support and evaluation process.
- 7.2 Teachers (including Headteachers) who have responsibilities outside the classroom should also expect to have their performance of those responsibilities reviewed and should be included in their objective setting.

### **Support Staff**

- 7.3 Although appraisal is an assessment of overall performance, objectives cannot cover the full range of roles/responsibilities. Objectives should focus on school improvement priorities which are aligned with the Trust's overall vision and improvement plan.
- 7.4 At the start of each appraisal cycle, each member of staff will conduct a self-evaluation with reference to relevant standards (where appropriate), competencies, behaviours and skills, their job description and the person specification. Any aspects of an employee's role and responsibilities not covered by the objectives will be assumed to have been carried out satisfactorily, unless otherwise stated.
- 7.5 The employee should be invited in advance to present evidence of meeting or working towards their appraisal objectives. This must be quantifiable where possible, showing the depth and breadth of evidence where necessary. This evidence could include, for example, minutes of line management meetings, feedback from stakeholders in the organisation and any external assessment bodies such as auditors etc.
- 7.6 The objectives set for each support staff employee will, if achieved, contribute to the school's plans for improving the school's educational provision, performance and efficiency.
- 7.7 For employees who manage a team or those who hold a higher support staff grade, there should be a team performance objective. Whole school or team objectives should reflect school improvement priorities or the Trust's strategic development plan.

- 7.8 The nature and level of challenge of objectives will reflect the nature and level of challenge of the support staff role and / or the career stage of the employee.

## 8. Development and support

- 8.1 Our appraisal process is used to talent spot within the organisation, inform and decide continuing professional development (CPD) which improves performance. The Trust encourages a culture in which all employees take responsibility for improving their performance in their role and extending their depth of knowledge through appropriate professional development.
- 8.2 Training and professional development will be linked to school and Trust improvement priorities and where possible, to the ongoing professional development needs and priorities of individuals.
- 8.3 The Trust wishes to support individual staff by identifying their professional and personal needs. Once identified this will help inform and shape the Trust's CPD priorities. We are committed to supporting appropriate and reasonable development which not only assists the employee in their role but also leads to improvements in performance across the Trust. Where a gap is identified in a specific area, expertise may be sought from external agencies.

## 9. Feedback

- 9.1. Employees will receive constructive feedback on their performance throughout the year. Feedback should highlight particular areas of strength as well as any areas that require further development.
- 9.2 Where there are concerns about any aspects of an employee's performance, the appraiser will meet the appraisee to:
- give clear feedback about the nature and seriousness of the concerns;
  - give the appraisee the opportunity to comment and discuss the concerns;
  - find out if there are any issues (both in or outside of work) that are affecting their performance that the appraiser can assist with or provide support;
  - set clear objectives for the required improvements and how these can be achieved;
  - agree any support (for example additional coaching, mentoring, training, observing others in a similar role etc), that will be provided to help address those specific concerns;
  - make clear how, and by when, the appraiser will review progress either by setting new and clear objectives for required development which will be assessed during the review period or by revising current objectives;
  - allow sufficient time for improvement; the amount of time for this should reflect the seriousness of the concerns. This will be an informal review period and will be confirmed in an Action Plan;
  - explain the implications and process if no - or insufficient - improvement is made during the informal review period for example, transition to formal capability.



- 9.3 This meeting can happen at any time during the appraisal period. It is designed to be a supportive meeting to address issues early to avoid the matter escalating, giving the employee the opportunity to improve. At the meeting, the appraiser will present evidence collected that indicates that the employee's performance is not up to the required standard. An employee may be supported by a trade union representative or work colleague at this meeting. Although this is part of an informal process, a note of the meeting will be made and a copy given to the employee so that they are clear about the support they will be given, what improvements need to be made and the timescales.
- 9.4 An informal review period of between 6 to 8 weeks will follow this meeting; the length will be determined by the appraiser based on the individual circumstances of the situation. During the informal review period, regular weekly meetings should take place to ensure progress is being made.
- 9.5 At the end of this informal review period when progress is reviewed, if the appraiser is satisfied that the employee 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 for no longer than an additional 3 weeks.

If no, or insufficient, improvement has been made over this period, then the process set out in section 15 below should be followed.

## 10 Evidence

- 10.1 Evidence supports the appraisal process. The range and level of evidence collected for appraisal will always be proportionate and minimise workload.

## 11 Annual assessment

- 11.1 Performance and development priorities will be reviewed and addressed throughout the process and an interim appraisal meeting will take place at the mid-point of the cycle to review performance and progress towards objectives.
- 11.2 Each employee's performance will be formally assessed in respect of each appraisal period. An annual assessment is the end point to the annual appraisal cycle and will formally assess each employee's performance in respect of that cycle. Teachers and Support Staff will receive a written appraisal report by 30<sup>th</sup> September (Appendix F). Headteachers will receive a written report by 31<sup>st</sup> October. The appraisal report will be a summary of the performance during the year and set out what the employee's development needs are for the next year. The report will include:

- details of the objectives for the appraisal period in question;
- an assessment of performance against their objectives and any relevant standards;
- an assessment of professional development needs and identification of any action that should be taken to address them;
- Details of a discussion on wellbeing and workload and career progression/aspirations.

11.3 The assessment of performance and of professional development needs from each individual appraisal will inform the planning process for the following appraisal period for the whole Trust.

## 12 Interim mid-year review

12.1 Interim reviews will take place during the Spring Term each year and should be completed by the end of March. Appraisers should use the template mid year review form (Appendix G) to meet with their appraisee to recognise the progress they have made against their targets so far.

12.2 This will also provide an opportunity for a review of any additional CPD need, and a means of evaluating what CPD the appraisee has engaged with during the cycle. Appraisees should make efficient use of theirs and their Appraiser's time before and during this meeting by reflecting on their own progress against their objectives in advance and ensuring that their Arbor/CPD log is up to date to help inform the discussion.

## 13 Moderation

13.1 The Headteacher is responsible for ensuring that all school staff appraisals are moderated and may delegate the moderation process to members of the school Senior Leadership Team.

13.2 The CEO is responsible for ensuring that all Trust shared service staff appraisals are moderated and may delegate the moderation process to members of the Trust's Leadership Team.

13.3 The purpose of moderation is to ensure that:

- Appraisers evaluate performance in a consistent and non-biased way
- There is a common understanding of the standards required
- The integrity of the process is protected.

13.4 The moderation process should focus on enquiry about performance and the consistency of treatment and fairness.

## 14 Monitoring & Evaluation

### All employees

- 14.1 During the appraisal period, each employee has a responsibility for gathering evidence of their progress throughout the year in order for them to identify any particular strengths or areas for further development.
- 14.2 Interim review meetings (where relevant) will take place in February/March. The appraiser will record the discussion on this evidence, review any CPD conducted and make an assessment in the final appraisal report.

### Teachers

- 14.3 In addition, a range of evidence should be available to the appraiser on a teacher's performance as part of the Trust's quality assurance processes. Evidence may include but is not limited to:
- Self-assessment
  - Pupil work scrutiny
  - Learning walks/Drop ins (as part of the Governors/Headteachers/External consultants/Senior Leaders' responsibilities to check that high standards of professional performance are maintained across the school).\*
  - Pupil progress and attainment data
  - Lesson planning evidence
- 14.4 Distinct from any incremental/instructional coaching model that is part of the QET's ongoing support of teacher development and is not linked to Appraisal. Learning walks and drop-ins will be undertaken in a supportive manner and no evaluation of an individual teacher will be made during a learning walk.

## 15 Transition to Capability

- 15.1 Appraisal is an ongoing process. If an employee demonstrates underperformance and has not responded to support provided within the appraisal process, 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. The capability procedures will be conducted in accordance with the Trust's Capability Policy.

## 16 General principles underlying this policy

### Confidentiality

- 16.1 The appraisal process will be treated confidentially. However, the desire for confidentiality does not override the need for the Headteacher and governing body to quality-assure the operation and effectiveness of the appraisal system.

- 16.2 The process of gathering evidence for appraisal will not compromise normal professional relationships between teachers. Information made available during the appraisal process must not be shared with anyone except those directly involved. Any breach of confidentiality may result in disciplinary action.

#### **Consistency of Treatment and Fairness**

- 16.3 The Board of Trustees is committed to ensuring consistency of treatment and fairness. It will abide by all relevant equality legislation, including the duty to make reasonable adjustments for disabled employees.
- 16.4 In developing, applying and evaluating this policy we will monitor the impact on different groups of people with protected characteristics in line with the Trust's Equal Opportunities policy and our Workforce Privacy Notice.

#### **Retention and data protection**

- 16.5 As part of the application of this policy, the Trust may collect, process and store personal data in accordance with our data protection policy. We will comply with the requirements of Data Protection Legislation (being (i) the General Data Protection Regulation ((EU) 2016/679) (unless and until the GDPR is no longer directly applicable in the UK) and any national implementing laws, regulations and secondary legislation, as amended or updated from time to time, in the UK and then (ii) any successor legislation to the GDPR or the Data Protection Act 1998, including the Data Protection Act 2018). Records will be kept in accordance with our Workforce Privacy Notice, and in line with the requirements of Data Protection Legislation.

## **17 Review of policy**

- 17.1 This policy is reviewed and amended annually in consultation with staff and the recognised trade unions by the Trust HR Director, who will monitor the application and outcomes of this policy to ensure it is working effectively.

## Appendix A – The Appraisal Cycle

### July/September: (1<sup>st</sup> July – 30<sup>th</sup> September)

Appraisee to complete self-evaluation against relevant standards prior to appraisal meeting.

Appraisal meeting is held to review the previous appraisal period and provide an end of year review

Appraiser and appraisee meet to review individual performance objectives from the previous year and to agree and set new objectives for the upcoming cycle (see Section 6 for guidance on Objective setting).



### October

Headteacher (or delegate) to moderate and quality assure set objectives, in order to check consistency of approach and standards between different appraisers before being signed off. Where there are concerns about the quality of the annual assessment and or performance objectives this should be referred back to the appraiser and employee. HR Director to support this process where needed.

Final appraisal reports issued by **31<sup>st</sup> October** for all Teaching and Support Staff

CEO to moderate set objectives for Headteachers'/Executive Team. Final appraisal reports issued by **31<sup>st</sup> October for CEO, Heads/Executive Team.**



### Autumn/Spring Term

Informal monitoring and constructive feedback provided by appraiser who monitors evidence. Appraisee to continue to maintain and add evidence to support progress towards objectives, relevant standards and professional learning activities

**Interim review meeting: February/March:** held to assess progress against objectives to ensure that appraisees are on track to meet objectives. Appraiser to approve any revisions to objectives and agree additional development activities or support required

Moderations of mid-year reviews for fairness and consistency.



### Summer Term B:

Appraiser to evaluate the impact of professional learning and self-evaluation audits to undertake a full review of priorities against evidence. **Cycle begins again.**

## Appendix B – Teachers Standards

### Part one - A TEACHER MUST:

<p><b>1. Set high expectations which inspire, motivate and challenge pupils</b></p>	<p>establish a safe and stimulating environment for pupils, rooted in mutual respect</p> <p>set goals that stretch and challenge pupils of all backgrounds, abilities and dispositions</p> <p>demonstrate consistently the positive attitudes, values and behaviour which are expected of pupils.</p>
<p><b>2. Promote good progress and outcomes by pupils</b></p>	<p>be accountable for pupils' attainment, progress and outcomes</p> <p>be aware of pupils' capabilities and their prior knowledge, and plan teaching to build on these</p> <p>guide pupils to reflect on the progress they have made and their emerging needs</p> <p>demonstrate knowledge and understanding of how pupils learn and how this impacts on teaching</p> <p>encourage pupils to take a responsible and conscientious attitude to their own work and study.</p>
<p><b>3. Demonstrate good subject and curriculum knowledge</b></p>	<p>have a secure knowledge of the relevant subject(s) and curriculum areas, foster and maintain pupils' interest in the subject, and address misunderstandings</p> <p>demonstrate a critical understanding of developments in the subject and curriculum areas, and promote the value of scholarship</p> <p>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</p>
<p><b>4. Plan and teach well-structured lessons</b></p>	<p>impart knowledge and develop understanding through effective use of lesson time</p> <p>promote a love of learning and children's intellectual curiosity</p> <p>set homework and plan other out-of-class activities to consolidate and extend the knowledge and understanding pupils have acquired</p> <p>reflect systematically on the effectiveness of lessons and approaches to teaching</p> <p>contribute to the design and provision of an engaging curriculum within the relevant subject area(s).</p>
<p><b>5. Adapt teaching to respond to the strengths and needs of all pupils</b></p>	<p>know when and how to differentiate appropriately, using approaches which enable pupils to be taught effectively</p> <p>have a secure understanding of how a range of factors can inhibit pupils' ability to learn, and how best to overcome these</p> <p>demonstrate an awareness of the physical, social and intellectual development of children, and know how to adapt teaching to support pupils' education at different stages of development</p>

	<p>have a clear understanding of the needs of all pupils, including those with special educational needs; those of 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.</p>
<p><b>6. Make accurate and productive use of assessment</b></p>	<p>know and understand how to assess the relevant subject and curriculum areas, including statutory assessment requirements</p> <p>make use of formative and summative assessment to secure pupils' progress</p> <p>use relevant data to monitor progress, set targets, and plan subsequent lessons</p> <p>give pupils regular feedback, both orally and through accurate marking, and encourage pupils to respond to the feedback.</p>
<p><b>7. Manage behaviour effectively to ensure a good and safe learning environment</b></p>	<p>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</p> <p>have high expectations of behaviour, and establish a framework for discipline with a range of strategies, using praise, sanctions and rewards consistently and fairly</p> <p>manage classes effectively, using approaches which are appropriate to pupils' needs in order to involve and motivate them</p> <p>maintain good relationships with pupils, exercise appropriate authority, and act decisively when necessary</p>
<p><b>8. Fulfil wider professional responsibilities</b></p>	<p>make a positive contribution to the wider life and ethos of the school</p> <p>develop effective professional relationships with colleagues, knowing how and when to draw on advice and specialist support</p> <p>deploy support staff effectively</p> <p>take responsibility for improving teaching through appropriate professional development, responding to advice and feedback from colleagues</p> <p>communicate effectively with parents with regard to pupils' achievements and well-being.</p>

**Part two - PERSONAL AND PROFESSIONAL CONDUCT**

A teacher is expected to demonstrate consistently high standards of personal and professional conduct. The following statements define the behaviour and attitudes which set the required standard for conduct throughout a teachers' career.

Teachers uphold public trust in the profession and maintain high standards of ethics and behaviour, within and outside school, by:

- treating pupils with dignity, building relationships rooted in mutual respect, and at all times observing proper boundaries appropriate to a teacher's professional position
- having regard for the need to safeguard pupils' well-being, in accordance with statutory provisions
- showing tolerance of and respect for the rights of others
- 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

- ensuring that personal beliefs are not expressed in ways which exploit pupils' vulnerability or might lead them to break the law.

Teachers must have proper and professional regard for the ethos, policies and practices of the school in which they teach, and maintain high standards in their own attendance and punctuality.

Teachers must have an understanding of, and always act within, the statutory frameworks which set out their professional duties and responsibilities.



## Appendix C – Headteachers' Standards

### Domains:

#### Culture and ethos

- school culture
- behaviour
- professional development

#### Curriculum and teaching

- teaching
- curriculum and assessment
- additional and special educational needs

#### Organisational effectiveness

- organisational management
- school improvement
- working in partnership

## Section 1: Ethics and professional conduct

Headteachers are expected to demonstrate consistently high standards of principled and professional conduct. They are expected to meet the teachers' standards and be responsible for providing the conditions in which teachers can fulfil them.

Headteachers uphold and demonstrate the Seven Principles of Public Life at all times. Known as the Nolan principles, these form the basis of the ethical standards expected of public office holders:

- selflessness
- integrity
- objectivity
- accountability
- openness
- honesty
- leadership

Headteachers uphold public trust in school leadership and maintain high standards of ethics and behaviour. Both within and outside school, headteachers:

- build relationships rooted in mutual respect, and at all times observe proper boundaries appropriate to their professional position
- show tolerance of and respect for the rights of others, recognising differences and respecting cultural diversity within contemporary Britain
- uphold fundamental British values including democracy, the rule of law, individual liberty and mutual respect, and tolerance of those with different faiths and beliefs
- ensure that personal beliefs are not expressed in ways which exploit their position, pupils' vulnerability or might lead pupils to break the law

As leaders of their school community and profession, headteachers:

- serve in the best interests of the schools' pupils
- conduct themselves in a manner compatible with their influential position in society by behaving ethically, fulfilling their professional responsibilities and modelling the behaviour of a good citizen
- uphold their obligation to give account and accept responsibility
- know, understand, and act within the statutory frameworks which set out their professional duties and responsibilities
- take responsibility for their own continued professional development, engaging critically with educational research
- make a positive contribution to the wider education system

## Section 2: Headteachers' standards

1.

### School culture

Headteachers:

- establish and sustain the school's ethos and strategic direction in partnership with those responsible for governance and through consultation with the school community
- create a culture where pupils experience a positive and enriching school life
- uphold ambitious educational standards which prepare pupils from all backgrounds for their next phase of education and life
- promote positive and respectful relationships across the school community and a safe, orderly and inclusive environment
- ensure a culture of high staff professionalism

2.	<p><b>Teaching</b></p> <p>Headteachers:</p> <ul style="list-style-type: none"> <li>• establish and sustain high-quality, expert teaching across all subjects and phases, built on an evidence-informed understanding of effective teaching and how pupils learn</li> <li>• ensure teaching is underpinned by high levels of subject expertise and approaches which respect the distinct nature of subject disciplines or specialist domains</li> <li>• ensure effective use is made of formative assessment</li> </ul>
3.	<p><b>Curriculum and assessment</b></p> <p>Headteachers:</p> <ul style="list-style-type: none"> <li>• ensure a broad, structured and coherent curriculum entitlement which sets out the knowledge, skills and values that will be taught</li> <li>• establish effective curricular leadership, developing subject leaders with high levels of relevant expertise with access to professional networks and communities</li> <li>• ensure that all pupils are taught to read through the provision of evidence-informed approaches to reading, particularly the use of systematic synthetic phonics in schools that teach early reading</li> <li>• ensure valid, reliable and proportionate approaches are used when assessing pupils' knowledge and understanding of the curriculum</li> </ul>
4.	<p><b>Behaviour</b></p> <p>Headteachers:</p> <ul style="list-style-type: none"> <li>• establish and sustain high expectations of behaviour for all pupils, built upon relationships, rules and routines, which are understood clearly by all staff and pupils</li> <li>• ensure high standards of pupil behaviour and courteous conduct in accordance with the school's behaviour policy</li> <li>• implement consistent, fair and respectful approaches to managing behaviour</li> <li>• ensure that adults within the school model and teach the behaviour of a good citizen</li> </ul>
5.	<p><b>Additional and special educational needs and disabilities</b></p> <p>Headteachers:</p> <ul style="list-style-type: none"> <li>• ensure the school holds ambitious expectations for all pupils with additional and special educational needs and disabilities</li> <li>• establish and sustain culture and practices that enable pupils to access the curriculum and learn effectively</li> <li>• ensure the school works effectively in partnership with parents, carers and professionals, to identify the additional needs and special educational needs and disabilities of pupils, providing support and adaptation where appropriate</li> <li>• ensure the school fulfils its statutory duties with regard to the SEND code of practice</li> </ul>
6.	<p><b>Professional development</b></p> <p>Headteachers:</p> <ul style="list-style-type: none"> <li>• ensure staff have access to high-quality, sustained professional development opportunities, aligned to balance the priorities of whole-school improvement, team and individual needs</li> <li>• prioritise the professional development of staff, ensuring effective planning, delivery and evaluation which is consistent with the approaches laid out in the standard for teachers' professional development</li> <li>• ensure that professional development opportunities draw on expert provision from beyond the school, as well as within it, including nationally recognised career and professional frameworks and programmes to build capacity and support succession planning</li> </ul>

7.	<p><b>Organisational management</b></p> <p>Headteachers:</p> <ul style="list-style-type: none"> <li>• ensure the protection and safety of pupils and staff through effective approaches to safeguarding<sup>1</sup>, as part of the duty of care</li> <li>• prioritise and allocate financial resources appropriately, ensuring efficiency, effectiveness and probity in the use of public funds</li> <li>• ensure staff are deployed and managed well with due attention paid to workload</li> <li>• establish and oversee systems, processes and policies that enable the school to operate effectively and efficiently</li> <li>• ensure rigorous approaches to identifying, managing and mitigating risk</li> </ul>
8.	<p><b>Continuous school improvement</b></p> <p>Headteachers:</p> <ul style="list-style-type: none"> <li>• make use of effective and proportional processes of evaluation to identify and analyse complex or persistent problems and barriers which limit school effectiveness, and identify priority areas for improvement</li> <li>• develop appropriate evidence-informed strategies for improvement as part of well-targeted plans which are realistic, timely, appropriately sequenced and suited to the school’s context</li> <li>• ensure careful and effective implementation of improvement strategies, which lead to sustained school improvement over time</li> </ul>
9.	<p><b>Working in partnership</b></p> <p>Headteachers:</p> <ul style="list-style-type: none"> <li>• forge constructive relationships beyond the school, working in partnership with parents, carers and the local community</li> <li>• commit their school to work successfully with other schools and organisations in a climate of mutual challenge and support</li> <li>• establish and maintain working relationships with fellow professionals and colleagues across other public services to improve educational outcomes for all pupils</li> </ul>
10.	<p><b>Governance and accountability</b></p> <p>Headteachers:</p> <ul style="list-style-type: none"> <li>• understand and welcome the role of effective governance, upholding their obligation to give account and accept responsibility</li> <li>• establish and sustain professional working relationship with those responsible for governance</li> <li>• ensure that staff know and understand their professional responsibilities and are held to account</li> <li>• ensure the school effectively and efficiently operates within the required regulatory frameworks and meets all statutory duties</li> </ul>

# Appendix D - Carrying out an Appraisal meeting Guidance

It is intended that this guidance should be read in conjunction with the Appraisal Policy to support appraisal meetings which encourage open and transparent discussion.

## What should an appraisal meeting look like?

A **constructive appraisal** meeting is one in which:

- appraisers ask good questions – using open questions appropriately and probing in a way that encourages appraisees to expand on their experiences, views or feelings
- appraisers are engaged in active listening – taking in what is being said, noticing body language, helping appraisees to clarify and respond in a way that supports the conversation
- there is adequate scope for reflection
- the focus is on evidence of performance rather than personal opinions
- the whole appraisal period is reviewed, not just recent or isolated events
- the discussion leans towards positivity with emphasis on the appraisee's strengths – where appraisers help appraisees consider their strengths and how to replicate successes in other areas of their work
- the meeting ends positively with agreed action plans to improve and sustain performance.

An **ineffective** appraisal meeting:

- focuses on multiple failures and omissions
- is controlled by the appraiser
- ends with disagreement between appraiser and appraisee
- leaves the appraisee feeling disengaged and/or demotivated.

## Preparing for the appraisal meeting

Both the appraiser and appraisee should prepare for the review meeting beforehand.

The **appraiser** should consider:

- how well the individual has performed since the last meeting
- the extent to which any agreed development plans from the last meeting have been implemented
- the feedback to be given at the meeting and the evidence that will be used to support it
- the factors that have affected performance, both within and outside the individual's control
- the points for discussion on the possible actions that could be taken by both parties to develop or improve performance
- potential directions the individual's career might take
- possible objectives for the next review period.
- 

**Appraisees** need to consider:

- what they have achieved during the review period, with examples and evidence
- any examples of objectives not achieved, with explanations
- what they most enjoy about the job and how they might want to develop the role
- any aspect of the work in which improvement is required and how this might be achieved
- their learning and development needs, with rationale to support their case for specific training
- what level of support and guidance they require from their manager
- their aspirations for the future both in the current role and in possible future roles
- objectives for the next review period.

## Asking the Right Questions

It is important for appraisers to ask both open and probing questions.

Open questions are general rather than specific; they will encourage appraisees to talk freely.

Examples include:

- Tell me about an experience at work where you felt you were at your best
- How did you feel about that at the time?
- What made this possible?
- What role did others have in this?
- Thinking about your current objectives, how can you ensure that they incorporate the conditions that led to this?

Probing questions dig deeper for more information on what happened or why. Appraisers should use these alongside active listening to reflect back to the appraisee and encourage them to provide more information about their views and opinion. Examples include:

- That's interesting. Tell me more about ...?
- To what extent do you think that ...?
- Can you help me understand...?
- What is the connection between...and...?
- Do you want to add anything else?

## Giving Feedback

Feedback is important because it both directs the appraisee's attention to learning and development, and supports motivation by helping them to see their progress towards goals. It should be based on facts, not opinion, and should always be backed up with evidence and examples.

Feedback should highlight particular areas of strength as well as any areas that require further development and should help the individual understand the impact of their actions and behaviour.

Feedback works best when the following conditions are met:

- Individuals are given access to readily-available information on their performance and progress
- Feedback is related to actual events, observed behaviours or actions
- Events are described rather than judged
- Feedback reinforces positives and strengths and is accompanied by questions which explore why things happened in the way that they did
- Individuals are supported to reach conclusions about what happened and why
- Where things may have gone wrong, there is understanding about this and an emphasis on 'putting things right'.

## Appendix E - Upper Pay Range (UPR) QET Standards

As well as meeting the Teachers' Standards (see Appendix B), for a teacher to progress to the UPR, the Headteacher and Local Governance Committee must be satisfied that:

- the teacher is highly competent\* in all elements of the relevant standards; and
- the teacher's achievements and contribution to an educational setting or settings are substantial\*\* and sustained\*\*\*.

\*'highly competent' means performance which is not only good, but also good enough to provide coaching and mentoring to other teachers, or give advice to them and demonstrate to them effective teaching practice and how to make a wider contribution to the work of the school in order to help them meet the relevant standards and develop their teaching practice

\*\* 'substantial' means of real importance, validity or value to the school; eg. playing a critical role in the life of the school; providing a role model for teaching and learning; making a distinctive contribution to the raising of pupil standards; taking advantage of appropriate opportunities for professional development and using them effectively to improve pupils' learning; and

\*\*\* 'sustained' means maintained continuously over a long period

Performance Objective Area	UPR expectations:
Subject Knowledge	Teachers should demonstrate a strong and developed knowledge and understanding of their subject(s) and be aware of how this knowledge impacts on pupils' learning. This may include wider involvement both within and beyond the school in wider professional networks connected with the subject(s), and may also include supporting other colleagues across the Trust.
Teaching	Teachers should demonstrate extensive knowledge and understanding of how to use and adapt a range of teaching and learning and strategies that provide learning opportunities for all pupils, enabling them to achieve their potential and excellent outcomes. This could also include providing support to other colleagues who are new to the profession, developing their practice or need additional support.
Assessment, Monitoring, Evaluation and Feedback	Teachers should demonstrate an extensive knowledge and strong understanding of the assessment requirements and arrangements for the subjects/curriculum areas they teach, including those related to public examinations and qualifications. This includes knowing how to analyse statistical information to evaluate the effectiveness of teaching and learning across a subject/area/cohort/year group. The teacher should also be able to contribute to the effectiveness of assessment practice in the school/Dept in a way that helps colleagues and/or supports improvements in student outcomes.
Professional Development	The teacher should contribute to the professional development of colleagues in the school/Trust. This could include having a role in coaching and/or mentoring that involves demonstrating effective practice, as well as providing advice and feedback. Professional development may include undertaking some research and

	evaluating innovative practices based on their findings, or presenting their learning formally within or beyond the school/QET.
Teamwork, Leadership and Collaboration	The teacher should work closely with leadership teams, taking a significant role in developing practice, implementing improvement and contributing to the development of other colleagues. This may include collaborative planning with other colleagues to promote effective practice, exploring links between subjects to enhance the curriculum, taking a role in developing expertise that aligns with wider school/QET wide improvement priorities.



## Appendix F – Annual Review and Planning Template

Use this form for annual review and planning meetings for appraisal of all staff.

ANNUAL REVIEW FOR:					
JOB TITLE:					
REVIEW OF SCHOOL YEAR:					
ASSESSMENT AGAINST OBJECTIVES					
<b>Objective 1:</b>					
Fully achieved		Partly achieved		Not achieved	
Comments:					
<b>Objective 2:</b>					
Fully achieved		Partly achieved		Not achieved	
Comments:					

ANNUAL REVIEW FOR:	
JOB TITLE:	
REVIEW OF SCHOOL YEAR:	

**Objective 3:**

Fully achieved		Partly achieved		Not achieved	
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Comments:

**EVIDENCE AND REFLECTION**

POINTS FOR REFLECTION	COMMENTS	EVIDENCE
What has gone well over the past year?		

## EVIDENCE AND REFLECTION

What are my strengths and what skills have I developed?

How do I want my career to progress?

What barriers/difficulties have I encountered this year, and what have I learnt from dealing with them?

What do I want to achieve during the coming year and what training and support do I think I will need?

## SUMMING UP THE YEAR

### APPRAISER STATEMENT

SUMMING UP THE YEAR

APPRAISEE STATEMENT

Signed (Appraisee) .....

Signed (Appraiser) .....

Date:

**OBJECTIVES FOR THE SCHOOL YEAR:**

**Objective 1:**

Actions to be taken to achieve the objective (with expected completion dates)

Success criteria

Support and training that will be needed

**Objective 2:**

Actions to be taken to achieve the objective (with expected completion dates)

**OBJECTIVES FOR THE SCHOOL YEAR:**

Success criteria

Support and training that will be needed

**Objective 3:**

Actions to be taken to achieve the objective (with expected completion dates)

Success criteria

PROFESSIONAL DEVELOPMENT AND OTHER SUPPORT FOR THE SCHOOL YEAR:		
PROFESSIONAL DEVELOPMENT TO BE PROVIDED	BY WHO?	WHEN?
OTHER SUPPORT TO BE PROVIDED		

Signed (Appraisee) .....

Signed (Appraiser) .....

Date:

# Appendix G - Mid Year Review 2023/24

Date of Meeting:

Name:

	Objective not started
	Objective started and ongoing
	Objective achieved / completed

<b>OBJECTIVE 1</b>	<b>RAG</b>
<b>EVALUATION OF PROGRESS AT MID YEAR REVIEW</b>	<b>RAG</b>
<b>AGREED ACTIONS AT MID YEAR REVIEW</b>	



<b>OBJECTIVE 2</b>	RAG
<b>EVALUATION OF PROGRESS AT MID YEAR REVIEW</b>	RAG
<b>AGREED ACTIONS AT MID YEAR REVIEW</b>	

<b>OBJECTIVE 3</b>	RAG
<b>EVALUATION OF PROGRESS AT MID YEAR REVIEW</b>	RAG
<b>AGREED ACTIONS AT MID YEAR REVIEW</b>	