



**University Technical College Warrington (UTCW)**

## **Teacher Appraisal Policy**

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## **1 SCOPE AND PURPOSE**

- 1.1 This policy sets out the framework for a clear and consistent assessment of the overall performance of teachers, including the Principal, and for supporting their development within the context of UTCW's plan for improving educational provision, operational excellence and performance, and the standards expected of teachers. It should generally be considered together with UTCW's Teacher Capability Policy that sets out the arrangements that will apply in the event that a teacher falls below the level of competence expected of them.
- 1.2 Appraisal will be a supportive and developmental process designed to ensure that all employees have the skills and support they need to carry out their role effectively. It will help to ensure that employees are able to continue to improve their professional practice and to develop.
- 1.3 This policy does not form part of any employee's contract of employment and it may be amended by UTCW at any time following consultation with the UTC's recognised Trade Unions.

## **2 WHO IS RESPONSIBLE FOR THE POLICY?**

- 2.1 The Governing Body has overall responsibility for the effective operation of this policy and for ensuring compliance with the relevant statutory framework. Day-to-day responsibility for operating the policy and ensuring its maintenance and review has been delegated to the Principal.
- 2.2 The Senior Leadership Team has a specific responsibility to ensure the fair application of this policy and all employees are responsible for supporting colleagues and ensuring its success.

## **3 WHO IS COVERED BY THIS POLICY?**

- 3.1 This policy covers teachers at all levels and grades, including the Principal, senior managers, officers, employees, trainees, part-time and fixed-term employees (collectively referred to as employees in this policy). It does not apply to agency staff and self-employed contractors or to those employed on contracts of less than one term and those subject to UTCW's Capability Policy.

#### **4 DOCUMENTATION TO ACCOMPANY APPRAISAL PROCESS**

- 4.1 Appendix 1 is UTCW's 'Self-Audit Form' that all employees with exception of the Principal must complete in advance of their Appraisal Meeting (a separate appraisal form will be provided to the Principal).
- 4.2 Appendix 2 is UTCW's 'Planning and Review Statement' that all employees must complete as part of their annual Appraisal Meeting.
- 4.3 Appendix 3 is UTCW's 'Half Yearly Review Form' that all employees must complete as part of their six monthly Appraisal Review.
- 4.4 Capability arrangements are set out in detail in UTCW's Teacher Capability Policy.

#### **5 THE APPRAISAL PERIOD**

- 5.1 The appraisal period will usually run for twelve months from 1 September to 31 August. Performance Appraisals will be completed for employees by 31 October and by 30 November for the Principal.
- 5.2 Employees who are employed on a fixed term contract of less than one year will have their performance managed in accordance with the principles underpinning this policy. The length of the period will be determined by the duration of their contract.

#### **6 APPOINTING APPRAISERS**

- 6.1 The Principal will be appraised by the Chair of the Governing Body or their representative, supported by a suitably skilled and/or experienced external adviser who has been appointed by the Governing Body or that purpose.
- 6.2 The Principal will decide who will appraise other employees. This may be the Principal themselves, a member of the senior leadership team or another teacher, one having appropriate line management responsibilities.

#### **7 SETTING OBJECTIVES**

- 7.1 The Principal's objectives will be set by the Chair of the Governing Body after consultation with the Trust Board. Objectives will be focused on key priorities and take account of the relevant National Standards of Excellence for Headteachers.
- 7.2 Objectives for each employee, including the Principal, will be set before, or as soon as practicable after, the start of each appraisal period. There will be no more than

three objectives for each employee. The objectives set for each teacher will be Specific, Measurable, Achievable, Realistic and Time-bound and will be appropriate to the employee's role and level of experience. The appraiser and employee will seek to agree the objectives but, if that is not possible, the appraiser will determine the objectives. Objectives may be revised if circumstances change by mutual agreement after consultation.

- 7.3 The objectives set for each employee, including the Principal, will, if achieved, contribute to UTCW's strategic objectives, plans for improving UTCW's educational provision and performance and improving the education of students at UTCW. This will be ensured by: (e.g. – quality assuring all objectives against the UTCW improvement plan).
- 7.4 Before, or as soon as practicable after, the start of each appraisal period, each employee will be informed of the standards against which that individual's performance in that appraisal period will be assessed.
- 7.5 All employees will be assessed against the set of standards contained in the document called Teachers' Standards published in July 2011 (and any updates of the same). The Principal or Governing Body (as appropriate) will need to consider whether certain employees should be assessed against other sets of standards published by the Secretary of State that are relevant to them.

## 8 REVIEWING PERFORMANCE

### 8.1 Observation

- 8.1.1 UTCW believes that observation of classroom and other responsibilities is important both as a way of assessing teachers' performance in order to identify any particular strengths and areas for development they may have and of gaining useful information which can inform improvement more generally. All observations will be carried out in a supportive fashion by a member of staff with QTS (or equivalent qualification).
- 8.1.2 At least one formal lesson observation for appraisal purposes is to be undertaken during the annual cycle with a maximum of three management led observations. This will be based on the student progress target and the focus of the observation will be to determine whether the teacher is likely to achieve this target and contribute to an evaluation as to confirm the teacher has met the "Teachers' Standards". A class should be identified for the observation and an agreement of the

date and time if possible with 5 working days' notice. All lesson observations will be recorded on a Lesson Observation form.

8.1.3 Full, timely and constructive feedback will be offered as soon as reasonably practicable and this will include discussion of strengths, areas for development and targets for improvement.

8.1.4 In addition to the lesson observation for Appraisal purposes, there may be observations for other purposes too, for professional development, and/or if a support plan is put in place. The number of such observations will not be limited and will be dependent upon the specific professional needs of each teacher.

8.1.5 Teachers who have responsibilities outside the classroom should also expect to have their performance of those responsibilities observed and assessed.

8.1.6 Peer observation for personal development by agreement does not form part of the appraisal process.

## 8.2 **Work Review**

UTCW may also assess teachers' performance by reviewing their planning and preparations for lessons along with any written work which they produce.

## 8.3 **Development and support**

Appraisal is a supportive process which will be used to inform continuing professional development. UTCW wishes to encourage a culture in which all employees take responsibility for improving their performance through appropriate professional development. Professional development will be linked to UTCW's improvement priorities and to the on-going professional development needs and priorities of individual employees.

## 8.4 **Feedback**

8.4.1 Employees will receive constructive feedback on their performance throughout the year and as soon as practicable after observation has taken place or other evidence has come to light. A half year review will be arranged.

8.4.2 Feedback will highlight particular areas of strength as well as any areas that need attention. There is an assumption that Teachers are meeting the Teachers Standards unless there is evidence to the contrary. Where there are concerns about any aspects of the employee's performance, the appraiser will meet them formally to:

8.4.2.1 give clear feedback to the employee about the nature and seriousness of the concerns;

8.4.2.2 give the employee the opportunity to comment and discuss the concerns;

8.4.2.3 agree any support (e.g. coaching, mentoring, structured observations), that will be provided to help address those specific concerns;

8.4.2.4 make clear how, and by when, the appraiser will review progress (it may be appropriate to revise objectives, and it will be necessary to allow sufficient time for improvement. The amount of time is at the discretion of UTCW but should reflect the seriousness of the concerns);

8.4.2.5 explain the implications and process if no – or insufficient – improvement is made.

8.4.3 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.

## 9 **TRANSITION TO CAPABILITY**

9.1 If the appraiser is not satisfied, at any point throughout the year, with the performance of an employee, whether a formal appraisal cycle has finished or not, they will notify the employee that they expect to see an improvement in their performance within a reasonable period.

9.2 If the appraiser is still not satisfied with progress, the teacher will be notified in writing that the appraisal system will no longer apply and that their performance will be managed under UTCW's Teacher Capability Policy and they will be invited to a formal capability meeting accordingly.

- 9.3 Employees are advised to seek the assistance of a recognised trade union official for support and guidance should they find themselves in this situation.

## 10 ANNUAL ASSESSMENT

- 10.1 Each employee's performance will be formally assessed in respect of each appraisal period. In assessing the performance of the Principal, the Chair of the Governing Body must consult the external adviser.
- 10.2 This assessment is the end point to the annual appraisal process, but performance and development priorities will be reviewed and addressed on a regular basis throughout the year.
- 10.3 The teacher will receive as soon as practicable following the end of each appraisal period – and have the opportunity to comment in writing on - a written appraisal report. UTCW will endeavour to provide teachers with their written appraisal reports by 31 October (30 November for the Principal). The appraisal report will include:
- 10.3.1 details of the teacher's objectives for the appraisal period in question;
  - 10.3.2 an assessment of the teacher's performance of their role and responsibilities against their objectives and the relevant standards;
  - 10.3.3 an assessment of the teacher's professional development needs and identification of any action that should be taken to address them;
  - 10.3.4 a recommendation on pay where that is relevant;
- 10.4 The assessment of performance and of professional development needs will inform the planning process for the following appraisal period.

## 11 PAY AND APPEALS

- 11.1 Pay progression will recognise the:
- 11.1.1 growing professional competency of teaching;
  - 11.1.2 achievement of targets agreed during the appraisal processes;
  - 11.1.3 performance of employees during the previous academic year, particularly in securing outcomes for young people.



- 11.2 Employees who meet their objectives or make significant progress towards a challenging target and are meeting the Teachers' Standards should have an expectation to, and should progress, up the relevant pay spine.
- 11.3 Employees will be informed of the pay outcomes of the review by 31 October.
- 11.4 The Principal will be informed of the pay outcomes of the review by 30 November.
- 11.5 If an employee believes that the final pay recommendation put forward as part of the Annual Appraisal Cycle falls short of their expectations, they may wish to appeal against the decision, using the Appeal Hearing Procedure. Full details are provided in the UTCW Pay Policy.

## 12 GENERAL PRINCIPLES UNDERLYING THIS POLICY

### 12.1 Confidentiality

The appraisal process will be treated with confidentiality. However, the desire for confidentiality does not override the need for the Principal and Governing Body to quality-assure the operation and effectiveness of the appraisal system.

### 12.2 Consistency of Treatment and Fairness

The Governing Body 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 teachers. The Governing Body is aware of the guidance on the Equality Act issued by the Department for Education. UTCW is committed to ensuring that the appraisal process is fair and non-discriminatory and it is committed to investigating any evidence which suggests inequalities in the application.

### 12.3 Delegation

Normal rules apply in respect of the delegation of functions by the Governing Body and Principal.

### 12.4 Sickness

If long term sickness absence appears to have been triggered by the commencement of monitoring, the case will be dealt with in accordance with the UTCW's absence policy.

### 12.5 Retention

The Governing Body and Principal will ensure that all written appraisal records are retained in a secure place for six years and then destroyed.

13 **MONITORING AND EVALUATION**

The Governing Body and Principal will monitor the operation and effectiveness of UTCW's appraisal arrangements.

## Appendix 1: Self-Audit

### Self-Audit

<i>This template should be completed before the Reviewee meets the Reviewer.</i>	
Name	
UTC	
Areas of responsibility	
<b>What are your strengths?</b>	
1	
2	
3	
<b>What new skills have you acquired since your last review?</b>	
1	
2	
3	
<b>What areas of your practice do you feel you need to develop further?</b>	
1	
2	
3	
<b>Does your work provide varied/challenging experiences which make your job more enjoyable?</b>	<b>Yes / No</b>
<ul style="list-style-type: none"><li>▪ <i>If YES, provide examples</i></li><li>▪ <i>If NO, provide some examples of what could be done to make this happen</i></li></ul>	
<b>Career Aspirations – what are your aspirations for the next 2-3 years?</b>	

Highlights of achievement – what has gone well this year?			
Contributions to the UTC – in what ways have you contributed e.g., extra-curricular, support?			
Additional information/Reviewee comments (optional)			
Signed (reviewee)		Date	

**Appendix 2: Planning and Review Statement**

**Planning and Review Statement**

*The original of the completed document should be given to the Reviewee, copies should be held by the Reviewer and Senior Leader responsible for appraisal.*

<b>Employee Name:</b>				<b>Reviewer Name:</b>			
<b>Job Title:</b>				<b>Job Title:</b>			
<b>Appraisal Year:</b>		20XX – 20XX		<b>Date of Annual Meeting:</b>		XX October 20XX	
				<b>Date of Half Year Review Meeting:</b>		XX March 20XX	
<b>PART 1A: PERFORMANCE AGAINST PREVIOUS YEARS OBJECTIVES</b>							
<b>‘Overall UTC Performance Objective to be Included here to provide context’</b>							
<b>Objectives will be assessed on the basis of exceeded, met, partially met and not met.</b>							
<b>Objective Ref:</b>		<b>Objective Details:</b> <i>List objectives set during the previous year</i>		<b>Evidence .</b>		<b>Assessment</b> <i>Specify achievements and areas for further development. Highlight any mitigating factors or failure to act on actions agreed.</i>	
<b>No</b>	<b>Type</b>						
1	Student Progress Objective						
2	Teaching (or supporting teaching) Objective						
3	Leadership and Management (or other responsibilities) Objective						

**Number of objectives exceeded:**

**Number of objectives met:**

**Number of objectives partially met:**

**Number of objectives not met:**

**PART 1B: PERFORMANCE AGAINST TEACHERS' STANDARDS**

Each Teacher Standard will be assessed on the basis of exceeded, met, partially met and not met, with 3 points awarded for exceeded, 2 points for met, 1 point for partially met and 0 points for not met.

<b>A teacher must:</b>			
<b>1 Set high expectations which inspire, motivate and challenge pupils</b>			
	<b>Evidence</b>	<b>Assessment</b>	<b>Score</b>
<ul style="list-style-type: none"> <li>▪ establish a safe and stimulating environment for pupils, rooted in mutual respect</li> <li>▪ set goals that stretch and challenge pupils of all backgrounds, abilities and dispositions</li> <li>▪ demonstrate consistently the positive attitudes, values and behaviour which are expected of pupils</li> </ul>			
<b>2 Promote good progress and outcomes by pupils</b>			
	<b>Evidence</b>	<b>Assessment</b>	
<ul style="list-style-type: none"> <li>▪ be accountable for attainment, progress and outcomes of the pupils</li> <li>▪ plan teaching to build on pupils' capabilities and prior knowledge</li> <li>▪ guide pupils to reflect on the progress they have made and their emerging needs</li> <li>▪ demonstrate knowledge and understanding of how pupils learn and how this impacts on teaching</li> <li>▪ encourage pupils to take a responsible and conscientious attitude to their own work and study</li> </ul>			
<b>3 Demonstrate good subject and curriculum knowledge</b>			
	<b>Evidence</b>	<b>Assessment</b>	<b>Score</b>

<ul style="list-style-type: none"> <li>▪ have a secure knowledge of the relevant subject(s) and curriculum areas, foster and maintain pupils' interest in the subject, and address misunderstandings</li> <li>▪ demonstrate a critical understanding of developments in the subject and curriculum areas, and promote the value of scholarship</li> <li>▪ 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</li> <li>▪ if teaching early reading, demonstrate a clear understanding of systematic synthetic phonics</li> <li>▪ if teaching early mathematics, demonstrate a clear understanding of appropriate teaching strategies</li> </ul>			
<b>4 Plan and teach well structured lessons</b>			
	<b>Evidence</b>	<b>Assessment</b>	<b>Score</b>
<ul style="list-style-type: none"> <li>▪ impart knowledge and develop understanding through effective use of lesson time</li> <li>▪ promote a love of learning and children's intellectual curiosity</li> <li>▪ set homework and plan other out-of-class activities to consolidate and extend the knowledge and understanding pupils have acquired</li> <li>▪ reflect systematically on the effectiveness of lessons and approaches to teaching</li> <li>• contribute to the design and provision of an engaging curriculum within the relevant subject areas(s)</li> </ul>			
<b>5 Adapt teaching to respond to the strengths and needs of all pupils</b>			
	<b>Evidence</b>	<b>Assessment</b>	<b>Score</b>
<ul style="list-style-type: none"> <li>▪ know when and how to differentiate appropriately, using approaches which enable pupils to be taught effectively</li> </ul>			

<ul style="list-style-type: none"> <li>▪ have a secure understanding of how a range of factors can inhibit pupils' ability to learn, and how best to overcome these</li> <li>▪ 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</li> <li>▪ 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</li> </ul>			
<b>6 Make accurate and productive use of assessment</b>			
	<b>Evidence</b>	<b>Assessment</b>	<b>Score</b>
<ul style="list-style-type: none"> <li>▪ know and understand how to assess the relevant subject and curriculum areas, including statutory assessment requirements</li> <li>▪ make use of formative and summative assessment to secure pupils' progress</li> <li>▪ use relevant data to monitor progress, set targets, and plan subsequent lessons</li> <li>▪ give pupils regular feedback, both orally and through accurate marking, and encourage pupils to respond to the feedback</li> </ul>			
<b>7 Manage behaviour effectively to ensure a good and safe learning environment</b>			
	<b>Evidence</b>	<b>Assessment</b>	<b>Score</b>
<ul style="list-style-type: none"> <li>▪ have clear rules and routines for behaviour in classrooms, and take responsibility for promoting good and courteous behaviour both in classrooms and around the UTC, in accordance with the UTC's behaviour rules.</li> </ul>			



<ul style="list-style-type: none"> <li>▪ have high expectations of behaviour, and establish a framework for discipline with a range of strategies, using praise, sanctions and rewards consistently and fairly</li> <li>▪ manage classes effectively, using approaches which are appropriate to pupils' needs in order to involve and motivate them</li> <li>▪ maintain good relationships with pupils, exercise appropriate authority, and act decisively when necessary</li> </ul>			
<b>8 Fulfil wider professional responsibilities</b>			
	<b>Evidence</b>	<b>Assessment</b>	<b>Score</b>
<ul style="list-style-type: none"> <li>▪ make a positive contribution to the wider life and ethos of the UTC</li> <li>▪ develop effective professional relationships with colleagues, knowing how and when to draw on advice and specialist support</li> <li>▪ deploy support staff effectively</li> <li>▪ take responsibility for improving teaching through appropriate professional development, responding to advice and feedback from colleagues</li> <li>▪ communicate effectively with parents with regard to pupils' achievements and well-being</li> </ul>			

**Overall score for teacher standards:**

<b>PART 1C: REVIEW OF TRAINING AND SUPPORT</b>		
<b>No.</b>	<b>Training agreed</b>	<b>Review of training and support</b> <i>Include training undertaken and details of impact. Where training incomplete, explain rationale.</i>

<b>1</b>		
<b>2</b>		
<b>3</b>		
<b>4</b>		
<b>5</b>		
<b>6</b>		

**PART 2A: OBJECTIVE SET FOR ATTAINMENT WITHIN THIS PERFORMANCE YEAR (include any carried forward from the previous year)**

Objective Ref:		Objective Details: <i>Informed by Reviewer's monitoring and Reviewee's self-evaluation</i>  <i>Specify actions to support achievement of the target</i>	Success Criteria Expected: <i>Specific, Measurable, Achievable, Rigorous and Timebound</i>	Timescales: <i>End of Performance Cycle unless otherwise stated.</i>
No.	Type			

**'Overall UTC Performance Objective to be Included here to provide context'**

1	Student Progress Objective			
2	Teaching (or supporting teaching) Objective			
3	Leadership and Management (or other responsibilities) Objective			

**TEACHING STAFF – PLANNED LEARNING OBSERVATION**

Primary purpose and aspects to be assessed	Total amount of observation, duration of each observation	Month observation planned	Planned observer name

Objective Ref:		Objective Details: <i>Informed by Reviewer's monitoring and Reviewee's self-evaluation</i> <i>Specify actions to support achievement of the target</i>	Success Criteria Expected: <i>Specific, Measurable, Achievable, Rigorous and Timebound</i>	Timescales: <i>End of Performance Cycle unless otherwise stated.</i>
No.	Type			

PART 2B: TRAINING / SUPPORT REQUIRED TO SUPPORT OBJECTIVES			
Identify training and development needs (where appropriate)	Action to be taken	Priority: H = High M = Medium L = Low	Timescale to achieve by:



<b>PART 3: AGREEMENT (ALL STAFF)</b>			
<b>Reviewer's Comments:</b>			
<b>Signed</b>		<b>Date</b>	
<b>Reviewee's Comments:</b>			
<b>Signed</b>		<b>Date</b>	

<b>PART 4: PAY PROGRESSION – To be completed by /Principal or Senior Leader responsible for Appraisal ONLY</b>			
<b>Pay progression criteria met and recommended for pay progression: <i>0, 1 or 2 points</i></b>	<b>Comments (to be provided where progression is not 1 point):</b>		
<b>Signed</b>		<b>Date</b>	

**Appendix 3: Half-Yearly Review Form**

**Half-Yearly Review Form**

<b>Staff Name:</b>		<b>Reviewer Name:</b>	
<b>Job Title:</b>		<b>Job Title:</b>	
<b>Appraisal Year:</b>	20XX – 20XX	<b>Date of Half Year Review Meeting:</b>	XX March 20XX
<b>1. Review Objectives and Performance Criteria.</b>			
<b>2. Highlight areas of progress to date.</b>			
<b>3. Discuss support required to enable objectives are met.</b>			
<b>Signed (Reviewee)</b>		<b>Date</b>	
<b>Signed (Reviewer)</b>		<b>Date</b>	

*Original copy to Reviewee and copy to be retained by Reviewer*

Issue date: [Insert date]  
 Review by date: [Annually]

