



LIGHTHOUSE
SCHOOLS PARTNERSHIP

TEACHING STAFF and HEADTEACHER APPRAISAL POLICY

Policy Approved by the Board of Trustees

Signed:

A handwritten signature in black ink, appearing to read 'A Haysom'.

Date: 10/02/22

Name: Adele Haysom

Chair of Board of Trustees

Authorised for Issue

Signed:

A handwritten signature in blue ink, appearing to read 'Gary Lewis'.

Date: 10/02/22

Name: Gary Lewis

Chief Executive Officer

Document History

Version	Author/Owner	Drafted	Comments
1.0	Tara Phillis	Drafted 21.2.17	No changes from policy 2015-16
2.0	Amy Sutton	Drafted Aug-18	Additional appendix & sign posting to capability policy.
3.0	Amy Sutton	Drafted June 2019	Reviewed Headteacher appraisal section.
4.0	Amy Sutton	Drafted April 2020	Renewed Academies Financial Handbook Link & changed dates
5.0	Jane Norris	Drafted April 2020	Renewed Academies Financial Handbook link and changed dates
6.0	Tania Newman	February 2022	Renewed Academies Financial Handbook link, and general updates

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Introduction

This appraisal policy has been developed to comply with current legislation including the Education (School Teachers' Appraisal) (England) Regulations 2012 (the Appraisal Regulations) and as an Academy, the Lighthouse Schools Partnership has agreed to adhere to the STPCD which is relevant to this policy. This policy must be read in conjunction with the Trust's Pay Policy. This policy does not form part of any teaching staff's contract of employment and may be amended at any time.

Schools and Trusts must have an appraisal policy for teachers, covering all staff, which deals with lack of capability. This policy has been consulted on with recognised Trade Unions.

Purpose

The Trust needs all staff to perform effectively in order to deliver the vision and aims of the schools within the Trust. To achieve this, schools aim to ensure that effective recruitment is undertaken, performance management expectations and standards are defined through the Appraisal framework, performance is monitored and staff members are given appropriate feedback, support and training.

This policy sets out the framework for a clear and consistent assessment of the overall performance of all staff, including the Headteacher, and for supporting their development within the context of the Trust's plan for improving educational provision and performance, and the standards expected of teachers. It also sets out the arrangements that will apply when teachers fall below the levels of competence that are expected of them.

Consistency of Treatment and Fairness

The Board of Trustees are committed to ensuring consistency of treatment and fairness and will abide by all relevant equality legislation.

Application of the policy

The policy is in two separate sections:

Part A of the policy, which covers appraisal, applies to the Headteacher and to all teachers employed by the school, except those on contracts of less than one term, those undergoing induction (i.e. NQT (Newly Qualified Teachers/Early Careers Teachers) and those who are subject to Part B of the policy.

Part B of the policy provides a signpost to the capability policy and applies to teachers and Headteachers about whose performance there are serious concerns that the appraisal process has been unable to address.

Part A – Appraisal

Appraisal will be a supportive and developmental process designed to ensure that all staff have the skills and support they need to carry out their role effectively. It will help to ensure that staff are able to continue to improve their professional practice and to develop as professionals across the Trust.

The Appraisal Period

The appraisal period will run for twelve months from September each year, although some self-review may be completed in the summer term prior to the appraisal meeting.

Staff 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.

Good practice expectations include 5 days' notice of a meeting and at times when the staff member is contracted to work wherever possible.

Appointing Appraisers

The Headteacher will be appraised by a committee of the Governing Body, supported by the Chief Executive Officer. Please see Appendix A for a guide on Headteacher appraisal.

The Headteacher will decide who will appraise other teachers.

Setting Objectives

The Headteacher's objectives will be set by the Governing Body after consultation with the Chief Executive. Please see Appendix A for a guide on Headteacher objectives.

Objectives for each staff member will be set as soon as practicable after the start of each appraisal period. Teachers will be set objectives by 31 October, wherever possible. The objectives set for all staff should support an increase in professional skills, knowledge or characteristics and will be appropriate to the staff member's role and level of experience. The appraiser and staff member 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. The Trust's expectation is that each teacher on the Teachers Main Pay Scale should have 3 objectives with an additional objective available to teachers exercising Teaching & Learning Responsibilities (TLRs), Upper Payscale (UPS) and Leadership.

Any objectives should allow the contribution/impact of the individual teacher to be assessed (this is especially the case for teachers due to the link between progress towards/the meeting of objectives and pay progression).

An appraisal is an assessment of overall performance and objectives cannot cover the full range of responsibilities and will therefore focus on the priorities of the individual for the cycle.

The objectives set for each teacher will, if achieved, contribute to the school's plans for improving the school's educational provision and performance and improving the education of pupils at that school.

The performance of all teachers should be assessed against the set of standards contained in the document called 'Teachers Standards' and relate to the quality of teaching. In order to meet the Teachers' Standards a teacher will need to demonstrate that their practice is consistent with the definitions set out in Part 1 'Teaching' and Part 2 'Personal and Professional Conduct'.

Objectives may be revised if circumstances change during the appraisal period.

Reviewing Performance

Observation

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 they may have and of gaining useful information which can inform school improvement more generally. All observation will be carried out in a supportive manner.

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. As a rule, formal observation for appraisal purposes will not exceed 3 hours in any school year. Classroom observation will be carried out by those with QTS. In addition to formal observation for the purposes of appraisal, the Headteacher or other leaders with responsibility for teaching standards may "drop in" in order to evaluate the standards of teaching in the school 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 specific circumstances but do not form part of the appraisal procedures.

Staff (including the Headteacher) who have responsibilities outside the classroom should also expect to have their performance of those responsibilities observed and assessed.

Judgments relating to performance should be supported by a range of evidence. The evidence gathered should be agreed at the beginning of the performance cycle and determined by the nature and scope of the agreed objectives. As well as classroom observations additional evidence may include task observations, drop-in observations, learning walks, talking to pupils about their learning, review of pupil assessment outcomes, internal tracking of pupils' attainment and progress, work sampling, lesson planning records, self-assessment and peer reviews. It may not always be practical to provide advance notice of these additional monitoring activities.

Development and Support

Appraisal is a supportive process, which will be used to inform continuing professional development. Lighthouse Schools Partnership encourages a culture in which all staff take responsibility for improving their teaching through appropriate professional development. Professional development will be linked to school improvement priorities and to the ongoing professional development needs and priorities of individual teachers. Staff can request for a secondment via the 'Opportunities Register' which is part of the Appraisal form.

Feedback

Staff will receive constructive feedback on their performance throughout the year and as soon as practicable, after observation has taken place or other evidence has been considered.

Feedback will highlight particular areas of strength as well as any areas that need attention. Where there are concerns about any aspects of the staff member's performance the appraiser will meet the staff member formally to:

- give clear feedback to the teacher about the nature and seriousness of the concerns
- give the teacher the opportunity to comment and discuss the concerns
- agree any support (e.g. coaching, mentoring, structured observations), that will be provided to help address those specific concerns
- 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)
- explain the implications and process if no – or insufficient – improvement is made.

When progress is reviewed, if the appraiser is satisfied that the staff member 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.

Transition to Capability

If the appraiser is not satisfied with progress, the staff member will be notified in writing that the appraisal system will no longer apply and that their performance will be managed under the capability procedure.

The capability procedures will be conducted as signposted in Part B of this policy. For the Headteacher, a subgroup of governors that have been appraising the Headteacher conduct the Formal Capability Meetings and Capability Review Meeting for reasons of continuity. For other staff members, the manager or Headteacher would conduct the Formal Capability Meetings and Capability Review Meeting.

Annual Assessment

Each member of staff's performance will be formally assessed in respect of each appraisal period. In assessing the performance of the Headteacher, the Governing Body must consult the Trust CEO.

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.

The staff member 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. Teachers, including the Headteacher, will receive their written appraisal reports by 30 November wherever possible. The appraisal report will include:

- details of the staff member's objectives for the appraisal period in question
- an assessment of the staff members performance of their role and responsibilities, including the quality of teaching, against their objectives and the relevant standards
- an assessment of the staff member's professional development needs and identification of any action that should be taken to address them
- a recommendation on pay (this will apply to all teachers). Pay recommendations need to be made prior to meeting of the School's Staffing & Pay Committee.

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

Recommendations on pay will be made to the Local Governing Body of each school who will scrutinise the process and may sample pay decisions. The Local Governing Body will commend their decisions to the Board of the Trust by 30th November annually who will ratify these decisions as set out in the trust's Scheme of Delegation.

Retention of Statements

Monitoring and Evaluation

The Governing Body will review the impact of appraisal through reports from the Headteacher. The Headteacher should assess the impact of the process and of performance objectives to ensure that they do not represent protected characteristics under the Equality Act 2010, part time work, fixed term contracts or trade union membership.

Retention and Data Protection

The Head Teacher/Governing Body will ensure that all written appraisal records are retained in a secure place. It is the appraiser's responsibility to ensure HR has a copy of all relevant documents. As part of the application of this policy, the School/Academy 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** under UK GDPR and the Data Protection Act 1998 (DPA 2018). Records will be kept in accordance with our Privacy Notice, our Records Management Policy and in line with the requirements of Data Protection Legislation.

Part B – Capability Procedure

The Lighthouse School's Partnership seeks to ensure the effective performance of its entire staff in order to deliver the aims and visions of the School. This policy is designed to support and encourage all staff members (Headteacher and teachers) who are experiencing difficulties in achieving and maintaining satisfactory levels of performance through ensuring that performance expectations and standards are defined, performance is monitored and staff members are given appropriate feedback, training and support

to meet these standards. The Trust will ensure that all staff members are treated fairly and consistently when addressing cases of underperformance. For further support and guidance regarding the capability policy, please view the Trust's Capability Policy in conjunction with support and guidance from the Trust Head of HR.

This procedure applies only to teachers or the Headteacher about whose performance there are serious concerns that the appraisal process has been unable to address.

SCOPE AND LINK TO OTHER POLICIES

This policy/procedure applies to all staff including the Headteacher and is intended to be used when there are capability concerns that the appraisal process has been unable to address. The Capability Policy will apply where it is identified that a staff member has insufficient skill or aptitude to carry out their duties to an acceptable standard and/or where a staff member does not possess required qualifications to do the job because they have failed to obtain them.

The Capability Policy does not apply in the following circumstances: -

- Where the underperformance of a staff member relates to negligence or an attitudinal problem on the part of the staff member (the School's Disciplinary Policy will apply).
- Where the underperformance of a staff member relates to an underlying medical issue or a disability (the School's Managing Attendance Policy will apply).
- Where no employment relationship exists, for example agency workers, casual/supply workers, volunteers, work experience placements.

Newly Qualified Teachers or Early Career Teachers (for inductions starting after September 2021) : In the event of 'serious capability problems' during the induction period of a Newly Qualified Teacher (NQT)/Early Career Teacher, the Capability Procedure can be applied to the Newly Qualified/Early Career Teacher and 'run alongside the induction procedure'. For further information, please see the Department for Education's (DfE) *Statutory Guidance on Induction for Newly Qualified Teachers in England* (2008), or Early Career Teachers (England).

Appendix A

Lighthouse Schools Partnership Appraisal Policy for Headteachers 2022 to 2023



1. Scheme of Delegation

This policy sets out the normal conditions and procedures in reflection of a school of sound financial health and governance, and good quality profile. Levels of authority delegated to the school may vary depending on the individual circumstances of the school. All policies should be considered and understood alongside the scheme of delegation for each school.

2. Purpose

- 2.1 This policy provides the framework for a clear and consistent assessment of the overall performance of the headteacher, within the context of the priorities of each school and the Trust.
- 2.2 This policy should be read in conjunction with the Lighthouse Schools Partnership Pay Policy and Teachers' Standards. Reference should be made to the National Standards of Excellence for Headteachers.
- 2.3 Appraisal will be both a developmental and supportive process designed to ensure that the headteacher is able to continue to improve their professional practice. Appraisal will set objectives so the headteacher has the skills they need to carry out their role effectively and with reference to the appropriate standards. Appraisal is only one element of the performance management of the headteacher. The appraisal process should be seen in this context.

3. Application of the policy

- 3.1 This procedure applies to the headteacher of any Lighthouse Schools Partnership (LSP) school.
- 3.2 This policy has been implemented following consultation with staff and the recognised trade unions. The Governing Body adopted this policy on 20th September 2016.

4. The appraisal period

- 4.1 The appraisal period for the headteacher will run for twelve months from 1st September to 31st August.

5. Appointing the Appraisal Review Panel

- 5.1 Headteachers will be appraised by a sub-group consisting of the Chief Executive Officer (or person delegated by the CEO), and two nominated Local Governing Body members (which may include the Chair, appointed or elected parent governors but may not include members of staff). The panel will be known as the Appraisal Review Panel.

6. Setting objectives

- 6.1 The headteacher's objectives will be set by Appraisal Review Panel.
- 6.2 Objectives for the headteacher will be set before or as soon as practicable after, the start of each appraisal period and before 31 October, wherever possible.

The objectives set will be Specific, Measurable, Achievable, Relevant and Time-bound (SMART) and will be appropriate to role and level of experience and will reflect priorities for an individual for the cycle. Objectives will clearly identify success criteria and specify how progress will be measured. Objectives will allow the headteacher to demonstrate performance rather than simply results. The number of objectives set should be no more than three and objectives will be reasonable in all circumstances. The Appraisal Review Panel and appraisee will seek to agree the objectives but, if that is not possible, the Appraisal Review Panel will determine the objectives. Objectives may be revised if circumstances change.

- 6.3 Though appraisal is an assessment of overall performance, objectives cannot cover the full range of roles/responsibilities. Objectives will focus on the priorities for an individual and improving the education of pupils in the school and the Trust for the cycle.
- 6.4 At the report stage, it will be assumed that any aspects of an appraisee's roles/responsibilities not covered by the objectives have been carried out satisfactorily, with reference to the appropriate standards, unless otherwise stated.
- 6.5 The Appraisal Review Panel will judge whether objectives set in one cycle should continue to be relevant in the next cycle because of the progress towards this objective and the circumstance; such a judgement will be recorded in the review report.
- 6.6 The objectives set for the headteacher will, if achieved, contribute to the Trust's improvement priorities and the improvement of the educational provision and performance at the individual school. Objectives may also relate to the effective deployment and use of resources in the widest sense, administration and organisation.
- 6.7 Before, or as soon as practicable after, the start of each appraisal period, the headteacher will be informed of the standards against which they will be assessed in that appraisal period.
- 6.8 The performance of the headteacher will be assessed against the set of standards contained in the Teachers' Standards
<https://www.gov.uk/government/publications/teachers-standards>

Reference will also be made to the National Standards of Excellence for Headteachers
<https://www.gov.uk/government/publications/national-standards-of-excellence-for-headteachers>

The Local Governing Body with advice from the Chair of the Trust and Lead Finance Officer the (Chief Financial and Operations Officer) will also assess the headteacher in terms of his or her financial management and accountability using the Academies Financial Handbook, 2021.

[Academies Financial Handbook 2021](#)

- 6.9 With regard to the Academies Financial Handbook this means; supplying management information to allow the Trust's internal control framework to coordinate the planning and budgeting process; ensuring those with responsibility in the school apply discipline in financial management, including managing banking, debt and cash flow, with appropriate segregation of duties; prepare monthly budget monitoring reports; ensure that delegated financial authorities are respected; effective planning and oversight of any capital projects; ensure the management and oversight of assets and the propriety

and regularity of financial transactions. Additionally, the headteacher needs to ensure those with responsibility in the school reduce the risk of fraud and theft and ensure efficiency and value for money in the organisation's activities.

- 6.10 Objectives can be set for periods of less or longer than a year where appropriate (for example in the case of those on fixed terms or those leaving or joining the Trust/school during the appraisal year or on maternity leave). It may be appropriate to set longer-term objectives (for example linked to longer-term school improvement priorities for members of the leadership group).

Where longer-term objectives are set, intermediate annual objectives should be specified to link to longer term objectives as part of the appraisal process.

On occasions during a review cycle, usually because of unplanned circumstances, it may be considered that an objective set at the start of the process is no longer appropriate or requires some adjustment. Either at the interim review stage, or at an additionally scheduled meeting, changes can be agreed by revising the original objectives.

7. Development and support

- 7.1 Appraisal is a developmental and supportive process, which will be used to inform continuing professional improvement. LSP wishes to encourage a culture in which all staff take responsibility for improving their performance through appropriate professional development. Professional development will be linked to school improvement priorities and to the ongoing professional development needs and priorities of the headteacher.
- 7.2 Where professional development is identified as key to the improvement of the headteacher, they should not be held responsible for lack of progress against agreed priorities if the resources are not forthcoming/have not been provided.

8. Review and annual assessment

- 8.1 An annual appraisal cycle, of review, planning and monitoring should be followed, and an annual Review and Planning Meeting held at the end of each appraisal period. A formal interim review meeting will take place approximately mid-year from the start of the process. Less formal 'catch-ups' are likely to feature in a well-functioning appraisal process alongside routine management arrangements. It is good practice to meet with the headteacher several times during the year to monitor progress towards the set objectives.

The headteacher will receive constructive feedback on their performance throughout the year. Feedback will highlight particular areas of strength as well as any areas that need attention.

- 8.2 Where there are concerns about any aspects of the headteacher's performance, they will receive appropriate support as part of the appraisal process. The support to be offered will be agreed in advance by the Appraisal Review Panel.
- 8.3 In these circumstances the Appraisal Review Panel will meet the headteacher formally to:
- give clear feedback about the nature and seriousness of the concerns;
 - give the headteacher the opportunity to comment and discuss the concerns;

- identify any support that will be provided to help address those specific concerns;
 - make clear how, and by when, the Appraisal Review Panel will review progress, allowing sufficient time for improvement;
 - explain the implications and process if insufficient or no improvement is made.
- 8.4 The outcome of any such meeting will be confirmed in writing to the headteacher.
- 8.5 When progress is reviewed, if the Appraisal Review Panel is satisfied that the headteacher is making sufficient improvement, this will be acknowledged and celebrated and the appraisal process will continue as normal, with any remaining issues continuing to be addressed through that process.
- 8.6 The Trust/school should allow the headteacher's trade union representative to attend meetings at their request if concerns arise about the headteacher's performance and there is a possibility that there could be a transition to the Trust Formal Capability Procedure.
- 8.7 At the end of the cycle, assessment of performance against an objective will be on the basis of the performance criteria set at the beginning of the cycle.
- 8.8 If an appraisee is due to commence maternity leave during an appraisal period, the school will, wherever practicable, conduct an interim review in order to inform the end-of-year assessment and subsequent pay recommendation. If a headteacher leaves the school mid-cycle to take up another post, they may request an interim review meeting to conclude the progress made to date so that they have a completed appraisal record to take to their next post.
- 8.9 Headteachers will receive their written appraisal report as soon as is practicable following the end of each appraisal period - and have the opportunity to comment in writing on this.
- 8.10 The appraisal report will include:
- details of their objectives for the appraisal period in question
 - an assessment of the headteacher's performance of their role and responsibilities, including the quality of leadership, against their objectives and the relevant standards, their level of responsibility and experience;
 - an assessment of the headteacher's training and development needs and identification of any action that should be taken to address them
 - a recommendation on pay where relevant, providing evidence to support the recommendation.
- 8.11 Any recommendations on pay will be determined as stated in the scheme of delegation as agreed between the school and Trust, in accordance with the Trust's Pay Policy.
- 8.12 The assessment of performance and of training and development needs will inform the planning process for the next appraisal period.
- 8.13 The Appraisal Review Panel must ensure that the appraisal document is approved and signed by the Chair of the Appraisal Review Panel and the headteacher.

9. Transition to capability

If the Appraisal Review Panel is not satisfied with progress, the headteacher will be notified in writing that the appraisal process will no longer apply and that their performance will be managed under the capability procedure; they will be invited to a formal capability meeting. The capability procedures will be conducted as set out in the Trust's formal capability policy.

10. Retention of appraisal documentation

Appraisal documentation will be retained as an e-copy password protected for a minimum period of 6 years. A nominated appraiser will be responsible for ensuring that HR has a copy of all relevant documents. As part of the application of this policy, the Academy 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 the UK GDPR and the Data Protection Act 1998 (DPA 2018). Records will be kept in accordance with our Privacy Notice, our Records Management Policy and in line with the requirements of Data Protection Legislation

11. Additional statement on confidentiality

In exceptional circumstances, the Trust's appraisal practices could be subject to an audit by the Chair of the Trust Board. In this instance, any affected headteachers would be advised of the rationale/reasons for the audit and that their assessment paperwork might be reviewed for this purpose.