

Performance Management

A practical guide

Appraisees

Appraisers

Important Information

This practical guidance should be read in the context of:

- the School Teacher Appraisal (Wales) Regulations 2011 (the Regulations) (Appendix 1);
- the Welsh Government's Performance Management Guidance Document numbers 073/2012 and 074/2012 (www.cymru.gov.uk);
- the NASUWT Model Performance Management Policy (Appendix 2);
- Welsh Government's Guidance on Classroom Observation (Appendix 2, Annex G).

The Guidance contains all the essential information teachers need to know about appraisal.

NB This practical guidance is for NASUWT members only.

It should not be copied or distributed to non-members.

**Any teacher who joins the NASUWT will be provided with a copy.
Join online at: www.nasuwt.org.uk.**

Additional copies of this guidance for members can be obtained from

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Sections 1, 2 and 3 apply to all teachers covered by the Regulations

Background

Performance management (Appraisal), underpinned by the School Teacher Appraisal (Wales) Regulations 2011, is the process by which the performance of all teachers and headteachers will be reviewed annually.

Performance management is a continuous, annual cycle.

The School Teacher Appraisal (Wales) Regulations 2011

Although the system is referred to as 'Performance Management', primary legislation does not use this terminology. It specifies that the Welsh Ministers have the power to make regulations for the appraisal of teachers. The revised Regulations covering performance management are, therefore, entitled 'The School Teacher Appraisal (Wales) Regulations 2011'. These are referred to throughout this guidance as 'the Regulations'.

A copy is included in Appendix 1.

Throughout this NASUWT practical guide the person whose performance is being reviewed is referred to as the **appraisee**. The person carrying out the review is the **appraiser**.

The Regulations apply to:

- teachers at community, voluntary aided, foundation, community special and foundation special schools;
- teachers employed to work at more than two such schools in each employment setting;
- qualified and unqualified teachers;
- teachers working full or part time;
- teachers employed centrally by a local authority (LA) including teachers in pupil referral units (PRUs), nurseries, LA support services, peripatetic teachers, home tutors and others employed by an LA but not allocated to an individual school.

The Regulations do not apply to:

- newly qualified teachers on induction;
- teachers employed for a period of less than one term;
- practitioners other than teachers.

The date on which the Appraisal cycle begins is a key date and should be recorded.

Performance management is the annual review of the performance of teachers and headteachers.

The date on which the cycle began must be recorded.

It is a continuous, annual cycle.

The Regulations specify to whom performance management applies.

The Regulations identify teachers excluded from the process.

The Regulations make no provision for the appraisal of practitioners other than teachers.

To support members, the NASUWT has a Model Performance Management Policy.

It has many advantages and protections for teachers.

It complies fully with the Regulations, is consistent with the National Action Instructions and Supplementary Guidance and meets the provisions of the NASUWT checklist, in the context of the Welsh Government Classroom Observation Guidance.

Limits are placed on: objectives; classroom observation; bureaucracy and workload.

Immediate contact should be made with the NASUWT if the Policy adopted by the schools does not conform to the NASUWT Model.

NASUWT advice, National Action Instructions and Supplementary Guidance should be followed closely.

Contact the NASUWT if problems arise on any of the issues in Section 1.

The NASUWT Model Policy

The NASUWT has agreed a Model Performance Management Policy for use in all schools. **The model policy enhances the Welsh Government Policy.** It is fully consistent with the Regulations. It is a pragmatic and sensible strategy to enable members to cope with the requirements of the Regulations.

The NASUWT Model Policy has a number of very significant advantages.

- It is robust and fully compliant with the Regulations but takes a minimalist approach which ensures that there is no excessive workload or bureaucracy for teachers and headteachers. It is as simple as possible. The NASUWT believes that the more routine the scheme the less threatening the process.
- It limits the objectives to no more than three for each individual teacher and headteacher, rather than allowing the excessive, unlimited and unnecessary numbers proposed in other models.
- It identifies that lesson observations must not ordinarily exceed one per term with each observation lasting no more than one hour, in recognition of members' concerns that they have been subjected to excessive classroom observation by a variety of people. Other models/schemes have no limit on classroom observation.
- The standard forms, including the Practice, Review and Development (PRD) record, are simple and straightforward and compliant with the Regulations, minimising both bureaucracy and workload.

The NASUWT Model Policy is included in Appendix 2. NASUWT Representatives have been provided with a copy, together with a commentary that provides detailed guidance notes and points for action. It can also be downloaded from the NASUWT website: www.nasuwt.org.uk.

The intention is for the NASUWT Model Policy to be adopted by all governing bodies without amendment. This will save governors, headteachers and teachers hours of unnecessary development work. If your governing body has not adopted it, contact the NASUWT immediately.

A cautionary note

The Performance Management process can be used to appraisees' disadvantage. This has become more acute with the changes made to the School Teachers' Pay and Conditions of Service Document that link salary progression at all levels to the Performance Management process.

Members are advised to adopt the following approach at all stages in the process:

- be positive about yourself;
- avoid self-criticism;
- confine your comments to your duties as required by the current STPCD;
- avoid reference to voluntary and non-contractual activities;
- give specific examples of things you have done well;
- where there are deficiencies in your working conditions which adversely affect the discharge of your duties, use the performance management process to identify them;
- do not agree to the inclusion of numerical targets as part of your objectives.

Key Issues

Performance management is not voluntary. It applies to all teachers and headteachers. There is, therefore, certain basic advice on a number of key elements which applies to everyone.

Workload and Work/Life Balance

To ensure that performance management does not impact adversely on teacher workload and working hours, all aspects of the process must be conducted within directed time, other than for headteachers and those on the leadership spine for whom directed time does not apply. However, the NASUWT would expect arrangements for the performance management of those on the leadership spine to be commensurate with the contractual entitlement to a work/life balance.

Consequently, when setting objectives for teachers and those on the leadership spine, due regard must be taken of what can be expected of teachers and headteachers in being able to achieve a satisfactory balance between the time required to discharge professional duties and the time required to pursue personal interests outside work.

This means:

- performance management meetings should take place at a time when all parties are able to give their best. This is, therefore, likely to be during normal pupil sessions with supply cover provided. Meetings held outside pupil session times should replace other meetings such as staff, planning or departmental meetings;
- non-contact periods lost as a result of undertaking lesson observation or in meetings arising from performance management should result in remission of contact time by the employment of supply teachers;
- teachers cannot be directed to use their planning, preparation and assessment (PPA) time for performance management activities;
- training required to support the process should replace training for other purposes. Training should take place within the normal pupil sessions. If it is scheduled outside these, this should replace existing scheduled teacher day training sessions;
- time spent by appraisers in the administration of performance management should replace other activities.

The NASUWT National Action Instructions provide an added protection against increased workload and a failure to provide a work/life balance.

Performance management is compulsory.

All aspects of the process, including continuing professional development (CPD) and the requirement to keep an up-to-date practice, review and development (PRD) record, must be conducted in directed time.

Due regard must be taken of the contractual entitlement to a work/life balance (see Welsh Government Guidance Documents Nos 073/2012 and 074/2012).

The optimum time for meetings is during normal pupil sessions, with supply cover provided.

Performance management must be conducted within the provisions of the NASUWT National Action Instructions.

Where unreasonable demands are made on teachers' time in relation to performance management, contact should be made with the NASUWT.

Self-analysis and self-reflection are not required by the Regulations. However, teachers and headteachers are required to keep an up-to-date PRD record.

Teachers and headteachers are required to keep an up-to-date PRD record that must be submitted at least five school days before the appraisal review meeting.

Teachers and headteachers must not be self-critical in the PRD record.

The PRD record is a personal record held by the individual.

Objectives should be consistent with job descriptions.

Job descriptions should be confined to duties in the STPCD.

Job descriptions can only be changed by agreement.

No reference should be made to voluntary activities.

Self-analysis and self-evaluation

The Welsh Government has placed great emphasis on reflective practice – the PRD process – and has suggested that teachers should consider the use of self-analysis and self-reflection in preparation for the planning and review meeting.

The NASUWT has maintained consistently that such processes are unnecessary and invariably create additional work and bureaucracy.

The practice, review and development (PRD) record

This has the potential to become workload intensive and overly bureaucratic. It should be a short, concise record that covers the requirements of the 2011 Regulations only.

The PRD must be maintained throughout the cycle and include a record of the appraisee's assessment of performance against the objectives, particulars of professional development activities undertaken and how this has contributed to meeting the objectives and particulars of any factors that an appraisee considers are affecting performance against the objectives.

It is essential that the appraisee avoids making self-critical comments in the PRD.

It is equally essential that the appraisee records any problems in accessing support to meet objectives.

It is a personal record held by the appraisee who is only required to provide a copy to the appraiser for the review meeting. It does not form part of the appraisal statement.

A template for the PRD record can be found in Appendix 2, Annex E.

Job descriptions

Objectives must be consistent with the teacher's/headteacher's job description. Members will need to guard against performance management provoking wholesale reviews of job descriptions with a view to adding items.

It is important to remember that:

- a job description covers what is expected of a person appointed to a particular post. It should not include voluntary activities and can only be changed through a restructuring process or by agreement. The performance management process must not be used as a means of seeking changes to job descriptions;
- all teachers are governed by the duties set out in the STPCD. The NASUWT favours generic job descriptions, which simply refer to these. However, the STPCD does not distinguish between teachers, other than those on the leadership spine, and so not all the duties listed are appropriate for every teacher. Therefore, there should be no expectation that all of them must be included in the job description.

Managing weak performance

The Welsh Government guidance clearly states that the performance management process does not form part of any disciplinary or dismissal procedures and that procedures to address underperformance are the subject of separate regulations.

A member facing capability procedures under these separate regulations must seek advice from the NASUWT.

Use of appraisal statements

Appraisal statements are produced at the end of the annual cycle. The Regulations govern their use and identify who should have access to them. Relevant information from the statements may be taken into account to inform promotion, dismissal and pay progression.

The appraisal statement should be the only evidence used to inform pay progression.

Where an appraisee is eligible for pay progression, the appraiser must provide the headteacher with a recommendation on pay progression, having regard to the appraisal statement.

The principles and provisions of the Data Protection Act apply to the documentation produced as part of the performance management process.

Equal opportunities

There is evidence that appraisal/performance management schemes can produce discriminatory and unfair outcomes when conducted by persons who have had no training in respect of equal opportunities.

Stereotyped expectations may produce a biased approach and outcome which leads to discrimination against individuals on the grounds of their gender, ethnicity, disability status, age, trade union membership, religion or sexuality.

All persons involved in the implementation of performance management have a responsibility to ensure that direct and indirect discrimination is avoided.

All schools should have an equal opportunities policy for staff, and performance management should be conducted within the context of this.

Equal opportunity issues must be considered at every stage in the process, including selection of appraisers, conduct of meetings, objective setting, identification of professional development needs, monitoring and review of performance.

Performance management must not be used to manage weak performance.

Review statements are produced at the end of the annual cycle.

Appraisal statements are the evidence for the recommendation on pay progression.

Misuse of the appraisal statements should be referred to the NASUWT.

All stages of performance management should be informed by the provisions of Equality Legislation and related Codes of Practice.

All schools should have an equal opportunities policy for staff within which performance management should operate.

Teachers (Appraisees)

This section provides a step-by-step guide for teachers having their performance reviewed to support them through the review of their performance. It should be used in the context of the advice and information in Sections 1 and 2 of this guide.

Identification of the appraiser

Appraisers have responsibility for carrying out the annual performance review for appraisees. They are selected by the headteacher. The Welsh Government guidance advises that the person selected should be someone who has the best overview of the appraisee's work and is able to offer support. This is likely to be someone with line-management responsibility.

There is no provision in the Regulations for appraisees to choose their appraiser or to object to the one allocated. However, it is good management practice for the headteacher to consult with staff on those likely to be identified as appraisers.

If an appraisee has serious professional concerns about his/her appraiser, these should be registered with the headteacher and advice sought from the NASUWT.

Planning

A meeting should take place between the appraiser and appraisee. Only one planning meeting is necessary and there is no need for this to be lengthy or detailed.

Its purpose is to identify and agree the appraisee's objectives, including any lesson observation to be carried out during the performance management cycle.

The lesson observation should be proportionate to need and should not ordinarily exceed more than one per term, with the lesson observations lasting no more than one hour. A planning record template can be found at Appendix 2, Annex B.

Setting objectives

Detailed advice on objective setting is provided in Appendix 3 of this guidance. Objectives must focus on the teacher's job description and the school improvement plan.

No more than three objectives should be set as specified within the NASUWT Model Policy. **Additional ones should not be agreed.** The Regulations require that these must include objectives relating to pupil progress, any relevant pay progression criteria, and developing and improving the appraisee's professional practice. There is, however, no reason why the objectives should not include one or more whole-school objectives shared by every teacher, including the headteacher, that may have been identified in the school improvement plan – or, for example, raising the achievement of boys, or improving literacy across all year

Each teacher has an appraiser to review their performance.

The headteacher may be the appraiser for all teachers or may identify others to assist.

Teachers cannot choose their appraiser.

The appraisee and appraiser meet on one occasion to identify the objectives for the annual cycle.

No more than three objectives should be set, which must relate to pupil progress, relevant pay progression criteria, and developing and improving practice.

groups. It is important that the appraisee takes an active role in the planning meeting, clearly and confidently expressing their views.

Criteria for objectives

The appraisee should ensure that their objectives:

- are clear, concise, realistic, achievable and measurable;
- contribute to pupil progress;
- relate directly to their job description;
- focus on issues over which they have direct influence/control;
- do not include voluntary and extracurricular activities such as homework, revision and maths clubs, and/or INSET at weekends and holiday times;
- take into account any difficulties in their working environment, such as disruptive pupils, large class sizes, pupils with special needs in mainstream classes, or inadequate resources;
- reflect whether they work part time or require reasonable adjustments to support a disability;
- do not include numerical targets relating to pupil outcomes.

Timescales

The timescale in which each objective should be met should be realistic and clear. Most objectives are likely to be targeted for completion over an academic year. If a shorter timescale is proposed for one or more of the objectives, the appraisee should reflect on whether this is reasonable. There is a need to guard against the expectation that if an objective has a shorter timescale, once it is completed, an additional or extended one can be set during the cycle. The Regulations make no provision for additional objectives to be added during the cycle.

NB Where objectives are completed before the end of the cycle, teachers should not agree to have replacement or extended objectives set.

Support

Once the objectives have been identified, the resources and support which will be needed to enable them to be met should be discussed and agreed. Support will encompass a range of provision, such as an allocation of directed time to enable tasks to be carried out and/or provision of supply cover to facilitate participation in professional development or attendance at a training course. Appraisees cannot be required, and should not agree, to attend training courses in their own time in order to meet an objective.

Where there are concerns about the objectives, the appraisee should not agree them and contact should be made with the NASUWT for advice.

Objectives must be clear and concise.

Voluntary activities must not be included.

The needs of part-time workers and teachers with disabilities must be considered.

Numerical targets must not be included.

Timescales for completion must be realistic.

Support, resources, and training and development needs should be identified.

If agreement cannot be reached, advice should be sought from the NASUWT.

Recording the outcome of the planning meeting

The planning record should note the objectives, timescales and support, and should be drafted by the appraiser. The planning record should be completed at the meeting. However, it is reasonable for the appraisee to request to take it away for a short time to read and consider before finally agreeing.

Although not required under the Regulations, all training and developmental needs should be recorded on the record of the planning meeting.

The planning record will include the written statement of objective and is confidential to the appraisee and the appraiser.

Consequently, a separate record of the training and development needs, and any additional resource requirements, should be passed by the appraiser to those responsible for addressing these issues.

Appraisees should retain a copy of the planning record for reference.

A planning record template can be found at Appendix 2, Annex B.

NB The planning meeting at which the objectives are set can be combined with the meeting to review performance at the end of the previous appraisal cycle. The NASUWT recommends that the meetings are combined with the planning meeting following the review meeting. These processes are, however, separate and distinct.

Monitoring Progress

Classroom observation

This is a fundamental part of the process.

- **Selection of lessons for observation**

As specified within the NASUWT Model Policy, the selection of lessons to be observed should be balanced to reflect the roles and responsibilities of the individual appraisee. It will be necessary for the appraiser to ensure that this occurs. For example, it would be unfair for all the difficult classes an appraisee teaches to be chosen, or for observations to concentrate on one year group only. In primary schools, it would be unreasonable to focus simply on one curriculum area.

Where an appraisee considers that the lessons identified do not constitute a balanced selection, advice should be taken from the NASUWT.

The planning record/statement of objectives is confidential to the appraisee and the appraiser.

A record of the training and resource needs should be given to the appropriate person.

Documents are confidential.

Appraisees should retain copies of all documents produced.

A planning record should be produced detailing the objectives, support and procedures for monitoring progress.

Lesson observation is required by the Regulations on at least one occasion.

A balanced selection of lessons to be observed should be identified.

Lesson observation must not ordinarily go beyond one per term, with each observation lasting no more than one hour.

The amount of lesson observation should be proportionate to need.

A record of the length of each lesson observation should be kept.

Governors should not undertake lesson observation.

Dates of lesson observations are set at the planning meeting.

Additional documentation to support lesson observation is not required.

Feedback should be in writing.

- **Amount of lesson observation**

The amount of lesson observation undertaken should be sufficient to make an informed judgement and be proportionate to need in terms of the objectives set and whether an appraisee works full or part time.

Ordinarily, there should be one lesson observation per term, with the lesson observation lasting no more than one hour throughout the cycle, except where the appraisee and the appraiser agree that additional observation is necessary to support the achievement of meeting any objectives.

Whenever teachers are observed in the classroom they will need to keep a simple record of the date, time and duration to ensure that the amount of lesson observation does not ordinarily go beyond one per term, with each observation lasting no more than one hour.

- **The observer**

On most occasions the appraiser is likely to be the person conducting the observation. However, there may be circumstances when others undertake this. All those carrying out observation must have Qualified Teacher Status (QTS). To ensure that the person carrying out the observation has QTS a check can be made on the Education Workforce Council (EWC) register. The three-hour maximum of lesson observation includes all observation (whether from internal (heads of department, curriculum co-ordinators) or external (such as LA and teacher advisers)) sources. Governors should not undertake lesson observation.

Where a person other than the appraiser carries out the observation, the record of the observation must be given to the appraiser.

- **Notice of lesson observation**

The date, time, focus and duration of all lesson observations should be recorded in the planning record.

- **Preparation**

There is no requirement for appraisees to prepare and produce additional documentation to support the lesson observation process.

- **Feedback**

Feedback should be given as soon as possible after the observation has taken place. This should be noted on the classroom observation feedback record (see Appendix 2, Annex D). However, where an appraisee requests a meeting for debriefing, this should not unreasonably be refused. The appraisee should be provided with a copy of the feedback form.

- **Recording concerns**

Before signing the feedback form, appraisees should ensure they are satisfied that the observation was conducted properly and evaluated fairly. It is important to guard against accepting any criticism which fails to take account of the inadequacies of the system or the conditions under which the teacher works. The appraisee's comments on these and other issues should be recorded. It will be difficult to verify concerns at a later stage if they are not recorded by the appraisee at the time.

Collecting other evidence

The Regulations prevent appraisers from gathering additional written or oral information relevant to the appraisee's performance from other people **without prior consent being given by the appraisee**. The appraisee should seek advice from the NASUWT before any such consent is given.

Receiving support

At the planning meeting, appropriate support to assist appraisees in meeting their objectives should have been agreed. It is the responsibility of the school management to ensure that this is provided.

However, if the promised support is not forthcoming, appraisees are advised, in their own interests, to raise this at the earliest opportunity, preferably in a short written note to the appraiser. A copy of the note should be retained by the appraisee and the NASUWT should be contacted for advice.

Appraisees should ensure that any difficulties in working conditions, which may affect the achievement of objectives, are raised during the monitoring process. Such difficulties may include large class sizes, a high proportion of pupils with special needs in mainstream classes, disruptive pupils and inadequate resources.

Informal performance review discussions

Informal performance review discussions during the cycle are not a requirement under the Regulations and the NASUWT believes that they are unnecessary and will simply add to the bureaucracy, workload and cost of the process.

However, the Welsh Government guidance makes reference to such discussions and the NASUWT Model Policy allows for the appraisee and the appraiser to revisit the amount of lesson observation during the cycle in order to support the achievement of any objectives.

As a consequence, the arrangements for any informal performance review discussions during the cycle should be agreed at the planning meeting and appraisees should, in general, ensure that such discussions coincide with the lesson observations and feedback.

A written record of the discussions must be kept by the appraisee and the appraiser.

An opportunity for appraisees to record comments and concerns on the form should be provided.

An appraiser must not obtain information from any other person whether written or oral relevant to an appraisee performance without the prior consent of the appraisee.

Other evidence can only be obtained with the prior consent of the appraisee.

Appropriate support and training should be provided during the cycle.

Failure to provide agreed support should be referred to the appraiser and advice sought.

Arrangements for informal performance review discussions, if any, must be agreed at the planning meeting.

A written record of the discussion must be kept.

Reviewing Performance

A meeting is held at the end of the cycle to review progress against the objectives.

This meeting can be combined with the next planning meeting where objectives are set for the next cycle.

Documentation to be used in the review should be checked and agreed.

At the end of the cycle the appraisee and appraiser meet to hold an appraisal review of the appraisee's performance.

The Regulations state that the purpose of the appraisal review is to assess the extent to which the appraisee has met their objectives with reference to the appraisee's PRD, and to identify any training or development needs.

Although a separate and distinct meeting, this appraisal review meeting should normally be combined with the planning meeting, where the objectives for the next cycle are set, unless there is disagreement about the outcome of the review of the previous cycle. Where this occurs, advice should be taken from the NASUWT to discuss an appeal.

Pay progression

Where the appraisee is eligible for pay progression, the appraiser must provide a recommendation on pay progression to the headteacher based on the appraisal statement.

Where applicable, the appraiser must make a recommendation on pay progression based on the appraisal statement.

Documentation

It should be established at the start of the appraisal review meeting that the appraisee and appraiser are working from the same documentation.

This will include:

- the planning record;
- the record of training and professional developmental needs (if one was produced originally at the planning meeting);
- classroom observation feedback sheets;
- PRD record;
- any other agreed evidence collected throughout the cycle, providing that the prior consent of the appraisee had been given.

Appraisees should check that:

- the conclusions from the classroom observations are valid and accurate;
- the additional evidence collected is from the sources agreed prior to collection;
- the information is accurate.

Evaluating the outcome

Assessment of performance against the objectives will be on the basis of the performance criteria set at the beginning of the cycle and taking account of the PRD record.

Good progress towards the achievement of a challenging objective, even if the performance criteria have not been met in full, should be assessed favourably.

Strengths and achievements should be recognised and account taken of any factors outside the appraisee's control, including any difficulties in working conditions which have impacted upon the completion of objectives. If the outcome is agreed, the objectives for the next cycle can be set and recorded in accordance with the advice previously given for Planning (see page 13).

If appraisees are concerned about the outcome of the appraisal review in relation to any of the objectives, then it is unwise for them to agree new objectives for the next cycle which may be based on, or related to, them.

Appraisees are advised to keep a brief note of what is said during the meeting for their own reference.

Recording the outcome and appeal process

The outcome of the consideration of each objective should be recorded on the appraisal review statement.

The statement should, where possible, be completed at the meeting. If this is not possible, the Regulations require that it is produced by the appraiser within ten school days.

On receipt of the completed appraisal review statement, the appraisee should check that it forms an accurate record. In accordance with the Regulations, any concerns must be recorded on it within ten school days of the date of its initial receipt.

Where there are concerns, appraisees should seek advice from the NASUWT before making written comments on the appraisal review statement, to determine how these concerns may be addressed and whether recourse to the appeals process is appropriate.

It is important that this process is completed before the appraiser makes any recommendation on pay progression.

Consequently, advice should be taken immediately from the NASUWT as there are only ten school days from the date of receiving the appraisal review statement in which to add comments and/or lodge an appeal.

Performance should be evaluated, recognising strengths and achievements.

The appraisee's views should be fully considered.

If the outcome is agreed, the objectives for the next cycle can be set.

In the event of disagreement, the setting of new objectives should be deferred and the NASUWT contacted.

An appraisal review statement recording the outcome and, where appropriate, a recommendation on pay progression should be drafted.

The appraisee should check its accuracy.

Concerns about the outcome of the appraisal review may be addressed through the appeals procedure (in turn, the outcome of the appeal could impact on the pay recommendation).

This procedure should only be invoked on advice from the NASUWT.

The NASUWT will provide advice and support on the appeal process.

The appraisal statement and, where appropriate, the recommendation on pay progression is given to the headteacher and copied to the appraisee.

It can only be used in accordance with the provisions of the Regulations.

Contact the NASUWT if problems arise.

Access to and retention of the appraisal statement

Appraisees should receive a copy of their appraisal statement following the review meeting.

Appraisers pass the completed appraisal statement to the headteacher.

Copies must be passed on request by the headteacher to such persons as specified in the Regulations.

Use of the appraisal review statement is governed by the Regulations.

The review statement must be kept for at least six years.

Appraisers

This section provides specific information and advice for appraisers on key issues and actions required during the process.

The advice for appraisers should be implemented in the context of Sections 1-3 of this guidance.

Appointment of the appraiser

Appraisers are responsible for carrying out the annual appraisal review of appraisees. They are selected by the headteacher. The person selected should be someone who has an overview of the appraisee's work and is able to offer support. It is good management practice for the headteacher to consult those staff being considered for that role before identifying them.

The NASUWT believes that the most appropriate people to undertake this role are those who hold posts with remunerated line-management responsibilities. Appraisers are likely to be those on the leadership spine or in receipt of teaching and learning responsibility payments. In small schools, the headteacher may be the appraiser for all staff.

The workload implications for appraisers must be considered and addressed.

Members who have concerns about undertaking appraiser responsibilities should contact the NASUWT for advice.

Regardless of who carries out lesson observation during the performance management cycle, the responsibility for the recommendation to the headteacher on pay progression for eligible teachers rest solely with the appraiser.

Planning

The appraiser should arrange and hold a meeting with the appraisee.

The documents required for the meeting are set out in paragraph 26 of the Regulations (see Appendix 1).

Setting objectives

At the meeting no more than three objectives for the appraisal cycle should be set. The Regulations require that these must include objectives relating to pupil progress, any relevant pay progression criteria, and developing and improving the teacher's professional practice. One or more objectives may be a whole school one, shared with other teachers as set out in the school improvement plan. Objectives relating to pupil progress must not include numerical targets relating to pupil outcomes. Appraisers are advised to consult the NASUWT guidance on objective setting, which can be found at Appendix 3 of this guidance.

This guidance must be read in conjunction with Sections 1-3.

Headteachers should consult staff they propose to identify and appoint as appraisers.

Only those with remunerated line-management responsibilities should be selected.

There should be no increase in workload for appraisers.

Recommendations on pay progression for eligible teachers must only be made by the appraiser.

Organise the planning meeting to set and agree objectives.

Identify the documents to be used.

Set no more than three objectives only for the cycle.

Numerical targets relating to pupil outcomes must not be included in the objectives.

Ensure that the objectives meet the NASUWT criteria.

NOTE: Consider fully the appraisee's views and seek to reach agreement.

Identify and agree support, resources and training and developmental needs at the planning meeting.

Record the objectives, support, timescales and training and development requirements on the planning record.

Note: a record of the training and resource needs should be given to the appropriate person.

Allow time outside the meeting for the appraisee to consider the content of the planning record and annex.

The planning record/statement of objectives is confidential to the appraisee and the appraiser.

Criteria for objectives

The appraiser should ensure that the objectives:

- are clear, concise, realistic, achievable and measurable;
- contribute to pupil progress;
- relate directly to the appraisee's job description;
- focus on issues over which the appraisee has direct influence/control;
- do not include voluntary and extracurricular activities such as homework, revision and maths clubs, and INSET at weekends and holiday times;
- take into account any difficulties in the appraisee's working environment, such as disruptive pupils, large class sizes, pupils with special needs in mainstream classes, or inadequate resources;
- are tailored to reflect whether the appraisee works part time or requires reasonable adjustments to support a disability;
- do not include numerical targets relating to pupil outcomes.

Support

Once the objectives have been identified, the support and resources, including directed time, supply cover and any training and development needs required to enable them to be met, should be agreed. Appraisees cannot be required to attend training courses or undertake any other activity in their own time to meet objectives (including any observation).

Recording the outcome of the planning meeting

The following information should be noted on the planning record:

- objectives;
- development and training;
- resources to support the objectives;
- procedures for monitoring progress.

To maintain the confidentiality of the planning record, a separate record of the training and development needs and any additional resource requirement should be passed by the appraiser to those responsible for addressing these issues. It is the appraiser's responsibility to complete the planning record and training and development needs. A planning record template can be found at Appendix 2, Annex B.

It is preferable to aim to complete this at the meeting while the discussion is fresh in everyone's mind. This also reduces the appraiser's workload.

There is no need for the planning record or training and development record to be in extended prose. Clear and focused bullet points are all that is required. There should be full discussion with the appraisee about what is recorded.

If the appraisee requests time to consider the document outside the meeting, this should be agreed, but a clear deadline for its return should be set. Once agreed, the planning record should be given by the appraiser to the appraisee.

If the NASUWT advice is followed it is unlikely that there will be disagreement about the objectives. However, should this occur, every effort should be made to resolve the problem. In the event that an agreed resolution cannot be achieved, the Regulations state that the appraiser shall record such objectives as s/he considers appropriate and the appraisee may add comments in writing. The appraiser should advise the headteacher if agreement has not been reached.

Monitoring Progress

Classroom observation

On most occasions the appraiser is likely to be the person who undertakes the lesson observation.

Selection of lessons

As specified in the NASUWT model policy, the selection of lessons to be observed should be balanced to reflect the range of the appraisee's work.

Amount of observation

The amount of lesson observation undertaken should be sufficient to make an informed judgement and be proportionate to need in terms of the objectives set and whether an appraisee works full or part time. The NASUWT believes that it is essential to ensure that the amount is not excessive. Ordinarily, there should be no more than one lesson observation per term, with the lesson observations lasting no more than one hour, whether from internal (such as heads of department, curriculum co-ordinators) or external (such as LAs and teacher advisers) sources. Where a person other than the appraiser carries out the observation, the record of the observation must be given to the appraiser.

Ensure the lesson observations do not ordinarily go beyond one per term, with each observation lasting no more than one hour.

Appraisers need to keep a brief note of the date, time and duration of each observation and whether or not they conduct it themselves, to ensure that the number of lesson observations do not ordinarily go beyond one per term, with each observation lasting no more than one hour.

Notice of observation

The date, time, focus and duration of all lesson observations should be recorded in the planning record.

Recording details of lesson observations

The information from lesson observations must be recorded by the observer on the lesson observation feedback record and a copy given to the appraisee and appraiser. Appraisers will need to ensure that this is done.

Feedback should be given as soon as possible after the observation has taken place. This should be noted on the lesson observation feedback record Appendix 2, Annex D. Where an appraisee requests a meeting for debriefing, this should not unreasonably be refused.

In the event of disagreement, record the objectives considered appropriate and advise the headteacher.

Ensure that a balance of lessons for observation is selected.

Ensure the lesson observations do not ordinarily go beyond one per term, with each observation lasting no more than one hour.

Appraisers cannot gather additional evidence without prior consent being given by the appraisee.

Arrangements for informal performance review discussions, if any, must be agreed at the planning meeting.

A written record of the discussion must be kept.

Arrange one meeting which should cover the review of objectives before setting new ones for the next cycle.

Appraisers should ensure that the appraisee has full opportunity to record comments on the feedback form. It is for the appraisee to decide whether to exercise this option. The appraisee should be given a copy of the feedback form (see Appendix 2, Annex D).

Collecting other evidence

Prior consent

The Regulations prevent appraisers from gathering additional written or oral information relevant to the appraisee's performance from other people without prior consent being given by the appraisee.

The evidence sources, namely the lesson observations feedback forms and the PRD record, should be agreed and recorded at the planning meeting.

It is not a requirement to gather additional information if you do not think it is necessary.

If this provision is used, it is essential that the appraiser secures the prior consent of the appraisee. Appraisers should be clear about why they need additional information and what information is required. They should also make this clear to the appraisee when seeking consent.

Informal performance review discussions

There is no requirement in the Regulations to hold, or plan to hold, formal or informal interim meetings to review performance during the cycle.

However, the Welsh Government guidance makes reference to such discussions and the NASUWT Model Policy allows for the appraiser and the appraisee to revisit the amount of lesson observation during the cycle in order to support the achievement of any objectives.

As a consequence, the arrangements for any informal performance review discussions during the cycle should be agreed at the planning meeting, and the appraiser should, in general, ensure that such discussions coincide with the lesson observations and feedback.

A written record of the discussions must be kept by the appraiser and the appraisee.

Reviewing Performance

A meeting takes place at the end of the cycle which in normal circumstances will comprise two separate and distinct parts:

- review of the recorded objectives;
- planning and setting objectives for the next cycle.

An appraisal statement and annex template can be found at Appendix 2, Annex F.

A planning record template can be found at Appendix 2, Annex B.

Documentation

At the beginning of the meeting the appraiser should check that the appraisee has all the documentation to which it is intended to refer.

This will include:

- planning record;
- the record of the training and developmental needs (if one was produced originally at the planning meeting);
- lesson observation feedback forms;
- PRD record;
- any evidence collected during the cycle, providing that the prior consent of the appraisee had been given.

Evaluating the outcome

Appraisers should provide a clear and concise assessment of whether each of the recorded objectives has been met or whether good progress towards meeting it has been made.

The outcome of the review should focus on information directly related to the agreed objectives. It is inappropriate for additional issues, such as a general consideration of an appraisee's contribution to the life of the school, to influence whether objectives have been met, as this could lead to subjective and potentially discriminatory opinions, leaving the appraiser vulnerable to grievance and possibly legal challenge.

Appraisers should assess performance against the performance criteria set at the beginning of the cycle and take account of the records of the lesson observations and the PRD record, with good progress towards the achievement of a challenging objective, even if the objectives have not been met in full, being assessed favourably.

Appraisers should ensure that the appraisee's strengths and achievements are recognised and that account is taken of any factors outside the appraisee's control. The appraisee's views should be discussed and fully considered.

Pay progression

Where applicable, appraisers must also make a recommendation to the headteacher on pay progression. Again, the appraisee's views should be discussed and fully considered. An NASUWT template for the recommendation on pay progression can be found at Appendix 2, Annex H.

If the outcome of the review and the recommendation on pay progression is agreed, the objectives for the next cycle can be set and recorded in accordance with the advice previously given in Section 3, Planning.

Identify and agree the documentation to be used in the review.

Evaluate each objective.

Give full consideration to the appraiser's views.

Only consider information directly related to objectives.

Good progress towards meeting a challenging objective should be assessed favourably.

Recognise strengths and achievements.

Where applicable, make a recommendation to the headteacher on pay progression (see template Appendix 2, Annex H).

If agreement is reached, set objectives for the next cycle.

If agreement cannot be reached, defer setting new objectives.

Advise the headteacher if there is disagreement.

The headteacher is responsible for compliance with the Regulations with regard to access.

Contact the NASUWT if problems arise on any of the issues in Section 4.

However, if there is disagreement about the outcome of the review or the recommendation on pay progression, it would be unwise for the appraiser to insist on proceeding to set the objectives for the next cycle, especially if these would need to build upon, or are directly related to, those from the previous cycle. The Regulations state that if agreement cannot be reached, the appraiser should record on the appraisal statement their view of the outcome of each objective.

The appraiser should advise the headteacher if difficulties arise.

Recording the outcome and appeal process

The appraiser's assessment of each of the objectives should be recorded on the appraisal statement.

If the statement cannot be completed at the meeting, the Regulations require the appraiser to produce it within ten school days of the date of the review meeting and give it to the appraisee. The appraisee has ten school days from its receipt to append comments and, if they consider it appropriate, in circumstances where agreement could not be reached, lodge an appeal. It is, therefore, essential that an accurate record is kept of the date when it was handed to the appraisee.

Where an appeal is lodged, the process should be completed before the appraiser provides the headteacher with the recommendation on pay progression.

Appeals process

If an appeal is lodged then the provisions in the Regulations will be implemented (see Appendix 1). This will involve an appeals officer being appointed to consider the appeal.

The appeals officer will be the headteacher unless s/he is the appraiser, in which circumstance it will be the chair of governors.

The role of the appraiser in the appeal procedure is detailed in the Regulations.

Access to and retention of the appraisal statement

The appraiser should provide the headteacher with the appraisal statement following the review meeting and give a copy to the appraisee. They should not retain a copy themselves, although they can have access to the statement on request to the headteacher, should it be necessary.

The headteacher is responsible for complying with the Regulations in relation to access to, and use of, appraisees' appraisal statements.

APPENDIX 1

WELSH STATUTORY INSTRUMENTS

2011 No. 2940 (W. 316)

EDUCATION, WALES

The School Teacher Appraisal (Wales) Regulations 2011

<i>Made</i>	6 December 2011
<i>Laid before the National Assembly for Wales</i>	8 December 2011
<i>Coming into force</i>	1 January 2012

The Welsh Ministers in exercise of the powers conferred on the Secretary of State by sections 21(3) and 131 of the Education Act 2002⁽¹⁾ and now vested in them, and after consulting in accordance with section 131(7) of the Education Act 2002 such associations of local authorities in Wales, local authorities in Wales, bodies representing the interests of governing bodies in Wales and bodies representing the interests of teachers in Wales as appear to them to be appropriate, make the following Regulations:

PART I – INTRODUCTION

Title, commencement and application

1. – (1) The title of these Regulations is the School Teacher Appraisal (Wales) Regulations 2011 and they come into force on 1 January 2012.
- (2) These Regulations apply in relation to Wales.

Revocation, savings and transitional provisions

2. – (1) Subject to paragraph (2), the School Teacher Appraisal (Wales) Regulations 2002⁽³⁾ (as amended), the School Teacher Appraisal (Amendment) (Wales) Regulations 2009⁽²⁾, the School Teacher Appraisal (Wales) (Amendment No. 2) Regulations 2009⁽⁴⁾ and the School Government (Terms of Reference) (Amendment) (Wales) Regulations 2002⁽⁵⁾ are revoked.
- (2) The savings and transitional provisions in regulations 19, 33 and 46 and in the Schedule have effect.

Interpretation

3. – (1) Except where the context otherwise requires, in these Regulations –
 - “appraisal statement” (*“datganiad gwerthuso”*) has the meaning given to it by, as the case may be, regulation 15(4), regulation 29(4) or regulation 42(4);
 - “authority” (*“awdurdod”*) in relation to an unattached teacher means the local authority by which the teacher is employed and if employed by more than one authority then each such authority;
 - “Chief Education Officer” (*“Prif Swyddog Addysg”*) means the chief education officer of the local authority (or, in the case of an unattached teacher, of the authority);
 - “Diocesan Authority” (*“Awdurdod Esgobaeth”*) has the meaning given to it in section 142(1) and (4) of the School Standards and Framework Act 1998⁽⁶⁾;
 - “the Document” (*“y Ddogfen”*) means the document referred to in any order for the time being in force made under section 122 of the Education Act 2002;
 - “governing body” (*“corff llywodraethu”*) in relation to a school means the governing body of the school, and a “governor” (*“llywodraethwr”*) means a member of that governing body;
 - “head teacher” (*“pennaeth”*) includes an acting head teacher;
 - “Pupil Performance Information” (*“Gwybodaeth am Berfformiad Disgyblion”*) means information about the performance of pupils in schools in Wales as specified by the Welsh Ministers from time to time;
 - “the relevant date” (*“y dyddiad perthnasol”*) means 1 September 2012;
 - “school” (*“ysgol”*) means a community, voluntary, foundation, community special or foundation special school or maintained nursery school;
 - “school day” (*“diwrnod ysgol”*) means a day on which the school meets;

(1) 2002 c.32; conferred upon the National Assembly for Wales in the Education Act 2002 and transferred to the Welsh Ministers by paragraph 30 of Schedule 11 to the Government of Wales Act 2006 (c.32).

(2) S.I. 2002/1394 (W.137). The School Teacher Appraisal (Wales) Regulations 2002 were amended by the Staffing of Maintained Schools (Miscellaneous Amendments) (Wales) Regulations 2007 (S.I. 2007/944) (W.80), the School Teacher Appraisal (Amendment) (Wales) Regulations 2009 (S.I. 2009/2159) (W.183), the School Teacher Appraisal (Wales) (Amendment No. 2) Regulations 2009 (S.I. 2009/2864) (W.251) and the Local Education Authorities and Children’s Services Authorities (Integration of Functions) (Subordinate Legislation) (Wales) Order 2010 (S.I. 2010/1142) (W. 101).

(3) S.I. 2009/2159 (W. 183)

(4) S.I. 2009/2864 (W. 251).

(5) S.I. 2002/1396 (W.138)

(6) 1998 c.31.

“School Improvement Plan” (“*Cynllun Gwellu'r Ysgol*”) means the strategic plan setting out the objectives to improve the school's provision and performance;

“School Performance Information” (“*Gwybodaeth am Berfformiad Ysgolion*”) means information about the performance of schools in Wales as specified by the Welsh Ministers from time to time;

“School Performance Management Policy” (“*Polisi Rheoli Perfformiad yr Ysgol*”) means the written policy setting out how the staff appraisal policy in the school will be implemented;

“school teacher” (“*athro neu athrawes ysgol*”) means a teacher employed by a local authority or by the governing body of a foundation, voluntary aided or foundation special school, but does not include a teacher employed under a short term contract;

“school term” (“*tymor ysgol*”) includes (a) a period of time short of a full school term by no more than one week and (b) two consecutive half terms;

“school which has a religious character” (“*ysgol sydd â chymeriad crefyddol*”) means a foundation or voluntary school designated as a school having such character under section 69(3) of the School Standards and Framework Act 1998;

“short term contract” (“*contract cyfnod byr*”) means a contract of employment for a fixed term of less than one school term;

“statement of objectives” (“*datganiad amcanion*”) means the written statement of objectives recorded under regulation 12(5), regulation 26(5) or regulation 39(5), as the case may be;

“unattached teacher” (“*athro neu athrawes ddigyswllt*”) means a teacher employed by the authority falling within one of the following categories –

(a) a teacher not attached to a particular school;

(b) a teacher employed to provide primary or secondary education otherwise than at a school; or

(c) a teacher employed at a pupil referral unit (including a teacher in charge of a unit);

but does not include a teacher employed under a short term contract; and “the 2002 Regulations” (“*Rheoliadau 2002*”) means the School Teacher Appraisal (Wales) Regulations 2002.

(2) Any reference in these Regulations to—

(a) a numbered regulation is a reference to the regulation bearing that number in these Regulations;

(b) a numbered paragraph is a reference to the paragraph bearing that number in the regulation in which the reference appears; and

(c) the Schedule is a reference to the Schedule to these Regulations.

Duty to appraise

4. – (1) It is the duty of the governing body and head teacher of a school to exercise their functions under these Regulations with a view to securing that the performance of school teachers and head teachers in discharging their duties at the school is regularly appraised in accordance with these Regulations.
- (2) In the case of a school teacher or head teacher employed at two or more schools, performance at each school must be appraised and accordingly “school” in paragraph (1) is to be read as referring to each school.
- (3) Where the authority has delegated to a school teacher some or all of the duties imposed on an appraiser as permitted by regulation 36(2), it is the duty of the governing body and head teacher of the school to exercise their functions under these Regulations with a view to securing the performance of the unattached teacher in discharging their duties at that school and at other schools is regularly appraised in accordance with these Regulations.
- (4) It is the duty of the authority to exercise their functions under these Regulations with a view to securing that the performance of unattached teachers in discharging their duties to the authority is regularly appraised in accordance with these Regulations.

School Performance Management Policy

5. – (1) Prior to commencement of the appraisal cycle the governing body, the local authority and the head teacher must establish and maintain a School Performance Management Policy.
- (2) The governing body, the local authority and the head teacher must review, and, if they so decide, amend, the School Performance Management Policy at least annually.
- (3) The governing body and the local authority may delegate to the head teacher the formulation of a draft of or draft amendments to the School Performance Management Policy for their consideration.
- (4) In the event that agreement cannot be reached the local authority must determine the School Performance Management Policy.
- (5) Prior to the establishment or amendment of the School Performance Management Policy the governing body (or, if so directed by the governing body, the head teacher) must consult with the school teachers at the school on the content of or proposed changes to the School Performance Management Policy.
- (6) The governing body and the head teacher must implement the School Performance Management Policy.
- (7) At least once during each school year the head teacher must make a written report to the governing body about the operation of the School Performance Management Policy under these Regulations, the effectiveness of the school's appraisal procedures, and the training and development needs of the school teachers and the head teacher.
- (8) The governing body must make a copy of the School Performance Management Policy available for inspection at the school on school days.

PART II – APPRAISAL OF HEAD TEACHERS

Application of Part II

6. Regulations 7 to 19 apply to the appraisal of head teachers only.

Appointment of appraisers

7. – (1) The governing body of a school must appoint as appraisers of a head teacher at least two governors, at least one of whom must be a foundation governor of the school if it is a school which has a religious character or a voluntary aided school which does not have a religious character.
- (2) The governing body may at any time appoint a new appraiser in place of any existing appraiser appointed under paragraph (1).
- (3) No governor who is a teacher or other member of staff at the school may be appointed as an appraiser of the head teacher.
- (4) The local authority may appoint one or two appraisers in relation to the appraisal of a head teacher.
- (5) The governing body may make a request at any time to the local authority for the appointment of a new appraiser in place of an existing appraiser appointed by the local authority but such appointment must be at the local authority's discretion and any refusal must be accompanied by a written explanation of the reasons for the refusal.
- (6) Where the appraisal is of a head teacher of a school which has a religious character, the Diocesan Authority may appoint an appraiser of the head teacher.

The appraisal cycle

8. – (1) Subject to the following provisions of this regulation, and to regulation 9, the governing body must determine the timing of the appraisal cycle for the head teacher of the school.
- (2) Except as provided for in paragraph (3) and regulation 9(3) the length of an appraisal cycle will be one year and will begin after 1 September and before 31 December unless the local authority and the governing body agree otherwise.
- (3) In the case of the first appraisal cycle under these Regulations of a head teacher in post on the date on which these Regulations come into force, the governing body may determine that the length of that appraisal cycle is a period other than one year provided that it begins no earlier than 1 January 2012 and ends no later than 31 December 2012.
- (4) Once begun, appraisal cycles for every head teacher are continuous.
- (5) The appointment of a new appraiser does not cause a head teacher's appraisal cycle to begin again.

New appraisal cycle

9. – (1) If a head teacher moves to a post as head teacher in another school, the appraisal cycle begins again.
- (2) Where a school teacher (who is not a head teacher) becomes a head teacher (in the same or in another school) so that regulations 7 to 19 apply to the appraisal, the timing of the appraisal cycle will as soon as practicable be determined afresh by the governing body under regulation 8(1).
- (3) Where the appraisal cycle of a head teacher begins again under paragraph (1), or is determined afresh under paragraph (2), the governing body may determine that the length of the head teacher's first appraisal cycle in the new post will be a period of less than one year.

First appraisal cycle

10. The governing body must take all reasonable steps to secure that the first appraisal cycle for a head teacher of the school in post on the date on which these Regulations come into force begins no later than 31 December 2012.

School performance management policy

11. The appraisal of the head teacher must be in accordance with the provisions of the School Performance Management Policy.

Planning of appraisal and setting of objectives

12. – (1) Before or at the start of the appraisal cycle, all the appraisers and the head teacher must meet to plan and prepare for the appraisal and to seek to agree the head teacher's objectives which must take account of such relevant evidence as the appraisers and the head teacher agree (or, in the absence of agreement, such relevant evidence as the appraisers decide) but which will include the School Performance Information, and must relate to –
- (a) school leadership and management;
 - (b) the head teacher's job description;
 - (c) any relevant pay progression criteria;
 - (d) any relevant whole-school or team objectives specified in the School Improvement Plan;
 - (e) the professional standards for head teachers as specified by the Welsh Ministers from time to time; and
 - (f) any national priorities for school improvement set by the Welsh Ministers from time to time.
- (2) The head teacher's objectives described in paragraph (1) may also take into account the head teacher's professional aspirations.
- (3) The head teacher's objectives will be such that, if they are achieved, they will contribute to improving the progress of pupils at the school.

(4) If objectives are not agreed under paragraph (1), the appraisers must set out in writing such objectives as they consider appropriate, and the head teacher may add comments in writing.

(5) The objectives agreed under paragraph (1), or where objectives have not been agreed the objectives set out in writing under paragraph (4), and the head teacher's written comments, must be recorded in a written statement of objectives.

(6) When the objectives are set, the appraisers and the head teacher must seek to agree on the support required for the head teacher to meet the objectives. If agreement cannot be reached the local authority will determine the support that is required.

(7) The head teacher must during the course of the appraisal cycle keep an up-to-date record of –

- (a) the head teacher's own assessment of performance against the objectives recorded in the statement of objectives;
- (b) particulars of any professional development activities undertaken or other support provided and how this is contributing to achievement of the objectives; and
- (c) particulars of any factors which the head teacher considers are affecting performance against the recorded objectives.

(8) Her Majesty's Inspectorate for Education and Training in Wales⁽⁷⁾ may request, and upon receipt of such request the chair of the governing body must provide it with, a copy of the head teacher's statement of objectives.

Revising objectives

13. – (1) A head teacher's objectives may be revised by the appraisers at any time during the appraisal cycle.

(2) Where a head teacher's objectives are revised under paragraph (1) –

- (a) the statement of objectives must be amended to show the revised objective, the date of the revision and the reason for the revision;
- (b) references in these Regulations to the head teacher's objectives will be read as references to the revised objectives; and
- (c) references in these Regulations to the head teacher's statement of objectives will be read as references to the amended statement of objectives.

Monitoring progress

14. – (1) All the appraisers and the head teacher must seek to agree at a meeting held under regulation 12(1) on the procedures for monitoring the head teacher's performance against the objectives agreed under regulation 12(1) or where objectives have not been agreed the objectives set out in writing under regulation 12(4).

(2) If procedures are not agreed under paragraph (1), the appraisers must set out in writing such procedures for monitoring the head teacher's performance as they consider appropriate. (1) Commonly known as "Estyn".

(3) Subject to paragraph (4), an appraiser may not obtain from any other person information, whether written or oral, relevant to the head teacher's performance unless the head teacher consents or the information is obtained in accordance with the procedures agreed under paragraph (1) or where procedures have not been agreed, the procedures set out in writing under paragraph (2).

(4) Paragraph (3) does not apply to any information which an appraiser is entitled to receive under any other provision of these Regulations.

The appraisal review and the appraisal statement

15. – (1) At or near the end of the appraisal cycle all the appraisers and the head teacher must hold an appraisal review, with the object of –

- (a) determining whether there has been successful overall performance as considered against the professional standards for head teachers as specified by the Welsh Ministers from time to time;
- (b) assessing the extent to which the head teacher has met the objectives recorded in the statement of objectives as set out in regulation 12(1), taking into account relevant evidence gathered through the monitoring process set out at regulation 14 and the record kept by the head teacher in accordance with regulation 12(7); and
- (c) identifying the need for additional support, training or development and how such needs may be met, taking account the record described in regulation 12(7).

(2) The date on which an appraisal review is to be held must be determined by the appraisers, but at least 10 school days notice (in writing) must be given to the head teacher of that date.

(3) The head teacher must, at least five school days before the appraisal review, submit to the appraisers the record maintained under regulation 12(7) and the record must be considered at the appraisal review.

(4) Within 10 school days after each appraisal review all the appraisers must prepare a written statement recording the main points made by the appraisers and the head teacher at the review and the conclusions reached, and there must be recorded in an annex to the statement (which will form part of the statement) the training and developmental needs and ways of meeting such needs identified at the review.

(5) An appraisal review under paragraph (1) may be combined with a meeting under regulation 12 in relation to the following appraisal cycle.

(6) The appraisers must give the head teacher a copy of the statement, prepared under paragraph (4) within 10 school days after the appraisal review.

⁽⁷⁾ Commonly known as "Estyn".

(7) The head teacher may, within 10 school days of receiving a copy of that statement, add to it comments in writing, and such comments will form part of the statement prepared under that paragraph.

Appeals

- 16.** – (1) A head teacher is entitled to appeal against an appraisal under these Regulations within 10 school days of receiving a copy of an appraisal statement under regulation 15(6).
- (2) An appeal must be made in writing to the governing body.
- (3) In relation to a school other than one which has a religious character, the chair of the governing body will be one of the appeals officers in relation to such an appeal, but where the chair of the governing body has participated in the appraisal which is the subject of the appeal, the governing body will appoint a governor who has not participated in that appraisal as an appeals officer in relation to such an appeal in place of the chair of the governing body. The governing body will also appoint another governor who has not participated in that appraisal as an appeals officer in relation to such an appeal.
- (4) No governor who is a teacher or other staff member at the school can be appointed as an appeals officer for the head teacher at the school.
- (5) In relation to a school other than one which has a religious character, the local authority will appoint two people as appeals officers in relation to such appeal who have not participated in the appraisal which is the subject of the appeal.
- (6) In the case of a school which has a religious character, the governing body will appoint one governor as an appeals officer in relation to such appeal, who will be the chair of the governing body, but where the chair of the governing body has participated in the appraisal which is the subject of the appeal, the governing body will appoint a governor who has not participated in that appraisal as an appeals officer in relation to such an appeal in place of the chair of the governing body. The local authority will appoint two appeals officers and the Diocesan Authority will appoint one appeals officer, none of whom may have participated in the appraisal which is the subject of the appeal.
- (7) The appeals officers must within 10 school days of receiving the appraisal statement under regulation 17(3) conduct and conclude a review of the appraisal, and in so doing must take account of any representations made by the head teacher.
- (8) The appeals officers may –
- (a) order the appraisal statement to stand with or without observations of the appeals officers; or
 - (b) with the agreement of all the appraisers amend the appraisal statement; or
 - (c) order that the appraisal statement be expunged and order a new appraisal.
- (9) Where a new appraisal is ordered under paragraph (8)(c) all the appraisers must be replaced by new appraisers appointed in accordance with regulation 7 and the appeals officers must determine which appraisal procedures must be repeated.
- (10) All appraisal procedures determined to be repeated under paragraph (9) must be completed within 15 school days from the date of the order of the appeals officers under paragraph (8)(c).
- (11) Appeals officers may not –
- (a) determine that new objectives be agreed or set in accordance with regulation 12; or
 - (b) determine that the objectives agreed or set under regulation 12 be revised.
- (12) References in this regulation and regulations 17 and 18 to an appraisal statement are references to a statement prepared under regulation 15(4), including, in the case of regulations 17 and 18, any observations added by the appeals officers under paragraph (8)(a).

Provision and retention of appraisal statements

- 17.** – (1) The appraisers must provide a copy of the appraisal statement to—
- (a) the head teacher;
 - (b) the chair of the governing body;
 - (c) the Chief Education Officer;
 - (d) any governors responsible for advising about, or taking decisions in relation to, the promotion, discipline or dismissal of school teachers or the use of any discretion in relation to pay, upon request by those governors; and
 - (e) in the case of the head teacher of a school which does not have a delegated budget (within the meaning of Chapter IV of Part II of the School Standards and Framework Act 1998) any officer or adviser specifically designated by the Chief Education Officer to be responsible for advising about, or taking decisions in relation to, the use of any discretion in relation to pay, upon request by such officer or adviser.
- (2) The chair of the governing body must provide a copy of the appraisal statement to any officer or adviser specifically designated by the Chief Education Officer to be responsible for advising about, or taking decisions in relation to, the performance of head teachers pursuant to regulation 6 of the Staffing of Maintained Schools (Wales) Regulations 2006⁽⁸⁾, upon receipt of a request by such officer or adviser.
- (3) The chair of the governing body must provide any appeals officer with a copy of the appraisal statement and the statement of objectives within five school days of the governing body receiving notice of an appeal under regulation 16(2).
- (4) Where a new appraiser is appointed otherwise than at the beginning of an appraisal cycle, the chair of the governing body must provide that person with a copy of any current statement of objectives.

⁽⁸⁾ S.I. 2006/873 (W. 81).

- (5) The chair of the governing body must provide a copy of the annex to the appraisal statement referred to in regulation 15(4) to the person or persons responsible for planning the training and development of the head teacher in the school.
- (6) A head teacher must keep a copy of an appraisal statement until at least three years after the next appraisal statement has been finalised.
- (7) The governing body must keep a copy of the head teacher's appraisal statement until at least three years after the next appraisal statement has been finalised.

Information from appraisal statements

- 18.** – (1) Relevant information from appraisal statements may be taken into account by school governing bodies (including committees of governing bodies), Chief Education Officers or any officers or advisers specifically designated by a Chief Education Officer under regulation 17(1)(e) or (2) in taking decisions, and in advising those responsible for taking decisions, about the promotion, dismissal or discipline of head teachers or the use of any discretion in relation to pay.
- (2) Appraisal procedures in respect of a head teacher as described in these Regulations will not constitute any steps that must be taken in disciplinary or dismissal procedures brought against a head teacher.

Transitional provision

- 19.** Regulations 17 and 18 apply in relation to appraisal records produced and maintained under the Education (School Teacher Appraisal) (Wales) Regulations 1999⁽⁹⁾ or under the School Teacher Appraisal (Wales) Regulations 2002 as they apply in relation to appraisal statements.

PART III

APPRAISAL OF SCHOOL TEACHERS OTHER THAN HEAD TEACHERS

Application of Part III

- 20.** Regulations 21 to 33 apply to the appraisal of school teachers other than head teachers.

Appointment of appraisers for school teachers

- 21.** – (1) Subject to regulation 30(8) the head teacher must appoint as appraiser for every school teacher at the school, a school teacher at the school or the head teacher.
- (2) The head teacher may appoint a new appraiser in place of an existing appraiser at any time.

The appraisal cycle

- 22.** – (1) Subject to the following provisions of this regulation, and to regulation 23, the head teacher must determine the timing of the appraisal cycle for every school teacher at the school.
- (2) Except as provided for in paragraphs (3) and (4) and regulation 23(3) the length of an appraisal cycle shall be one year.
- (3) In the case of the first appraisal cycle under these Regulations of a school teacher in post on the date on which these Regulations come into force, the head teacher may determine that the length of the appraisal cycle shall be a period other than one year provided that it ends no earlier than 30th November 2003 and no later than 31st October 2004.
- (4) In the case of the first appraisal cycle under these Regulations of a school teacher not in post on the date which these Regulations come into force, the head teacher may determine that the length of the cycle shall be a period of less than one year.
- (5) Once begun, appraisal cycles for every school teacher shall be continuous.
- (6) The appointment of a new appraiser shall not cause a school teacher's appraisal cycle to begin again.
- (7) In the case of a school teacher employed under a contract of employment for a fixed term of less than one year (but not being a short term contract) in post on the relevant date, performance must be appraised throughout the unexpired period of the contract as at the relevant date and reviewed at the end of the fixed term.
- (8) Once begun, appraisal cycles for every school teacher will be continuous.
- (9) The appointment of a new appraiser will not cause a school teacher's appraisal cycle to begin again.

New appraisal cycle

- 23.** – (1) If a school teacher moves to a post as a school teacher in another school, the appraisal cycle shall begin again.
- (2) If a school teacher moves to a new post as a school teacher in the same school, the head teacher may determine that the appraisal cycle shall begin again.
- (3) Where a school teacher's appraisal cycle begins again under paragraph (1) or (2), the head teacher may determine that the length of the school teacher's first appraisal cycle in his or her new post shall be a period of less than one year.

First appraisal cycle

- 24.** The governing body must take all reasonable steps to secure that the first appraisal cycle for every school teacher at the school in post on the date on which these Regulations come into force begins no later than 30th April 2003.

⁽⁹⁾ S.I. 1999/2888 (W. 25).

School Performance Management Policy

25. The appraisal of school teachers at a school must be in accordance with the provisions of the School Performance Management Policy.

Planning of appraisal and setting of objectives

- 26.** – (1) Before or at the start of the appraisal cycle, the appraiser and the school teacher must meet to plan and prepare for the appraisal and to seek to agree the school teacher's objectives which must take account of such relevant evidence as the appraiser and the school teacher agree (or, in the absence of agreement, such relevant evidence as the appraiser decides) but which will include the Pupil Performance Information and must relate to –
- (a) developing and improving the school teacher's professional practice;
 - (b) the school teacher's job description;
 - (c) any relevant pay progression criteria;
 - (d) any relevant whole-school or team objectives specified in the School Improvement Plan; and
 - (e) the professional standards for school teachers as specified by the Welsh Ministers from time to time.
- (2) The school teacher's objectives described in paragraph (1) may also take into account –
- (a) the school teacher's professional aspirations; and
 - (b) any national priorities for school improvement set by the Welsh Ministers from time to time.
- (3) The school teacher's objectives will be such that, if they are achieved, they will contribute to improving the progress of pupils at the school.
- (4) If objectives are not agreed under paragraph (1), the appraiser must set out in writing such objectives as the appraiser considers appropriate, and the school teacher may add comments in writing.
- (5) The objectives agreed under paragraph (1), or where objectives have not been agreed the objectives set out in writing under paragraph (4), and the school teacher's written comments, must be recorded in a written statement of objectives.
- (6) When the objectives are set, the appraiser and the school teacher must seek to agree on the support that will be required for the school teacher to meet the objectives. If agreement cannot be reached the appraiser will determine the support that is required.
- (7) The school teacher must during the course of the appraisal cycle keep an up-to-date record of—
- (a) the school teacher's own assessment of performance against the objectives recorded in the statement of objectives;
 - (b) particulars of any professional development activities undertaken or other support provided and how this is contributing to achievement of the objectives; and
 - (c) particulars of any factors which the school teacher considers are affecting performance against the recorded objectives.

Revising objectives

- 27.** – (1) A school teacher's objectives may be revised at any time during the appraisal cycle where the school teacher and the appraiser agree.
- (2) Where a school teacher's objectives are revised under paragraph (1) –
- (a) the statement of objectives must be amended to show the agreed revision;
 - (b) references in these Regulations to the school teacher's objectives shall be read as references to the revised objectives; and
 - (c) references in these Regulations to the school teacher's statement of objectives shall be read as references to the amended statement of objectives.

Monitoring progress

- 28.** – (1) The appraiser and the school teacher must seek to agree at a meeting held under regulation 26(1) on the procedures for monitoring the school teacher's performance against the objectives agreed under regulation 26(1) or where objectives have not been agreed the objectives set out in writing under regulation 26(2).
- (2) If procedures are not agreed under paragraph (1), the appraiser must set out in writing such procedures for monitoring the school teacher's performance as the appraiser considers appropriate.
- (3) The procedures agreed under paragraph (1) or where procedures have not been agreed the procedures set out in writing under paragraph (2) must include a requirement for the appraiser in appraising a school teacher to observe the school teacher teaching on at least one occasion during the appraisal cycle.
- (4) Subject to paragraph (5), an appraiser may not obtain from any other person information, whether written or oral, relevant to the school teacher's performance unless the school teacher consents or the information is obtained in accordance with the procedures agreed under paragraph (1) or where procedures have not been agreed the procedures set out in writing under paragraph (2).
- (5) Paragraph (4) does not apply to any information which an appraiser is entitled to receive under any other provision of these Regulations.

The appraisal review and the appraisal statement

- 29.** – (1) At or near the end of the appraisal cycle the appraiser and the school teacher must hold an appraisal review, with the object of –
- (a) assessing the extent to which the school teacher has met the objectives recorded in the statement of objectives as set out in regulation 26(1), taking account of the record that the school teacher must keep in accordance with regulation 26(7);
 - (b) determining whether there has been successful overall performance as considered against the professional standards for school teachers as specified by the Welsh Ministers from time to time; and
 - (c) identifying the need for additional support, training or development and ways of meeting such needs also taking account of the record described in regulation 26(7).
- (2) The date on which an appraisal review is to be held will be determined by the appraiser, but at least 10 school days notice (in writing) must be given to the school teacher of that date.
- (3) The school teacher must, at least five school days before the appraisal review, submit to the appraiser the record maintained under regulation 26(7) and the record must be considered at the appraisal review.
- (4) Within 10 school days after each appraisal review, the appraiser must prepare a written statement recording the main points made by the appraiser and the school teacher at the review and the conclusions reached, and there must be recorded in an annex to the statement (which will form part of the statement) the training and developmental needs and ways of meeting such needs identified at the review.
- (5) An appraisal review under paragraph (1) may be combined with a meeting under regulation 26 in relation to the following appraisal cycle.
- (6) The appraiser must give the school teacher a copy of the statement prepared under paragraph (4) within 10 school days after the appraisal review.
- (7) The school teacher may, within 10 school days of receiving a copy of that statement add to it comments in writing, and such comments will form part of the statement prepared under that paragraph.

Appeals

- 30.** – (1) A school teacher is entitled to appeal against his or her appraisal under these Regulations within 10 school days of receiving a copy of the appraisal statement under regulation 29(6).
- (2) An appeal shall be made in writing to the governing body.
- (3) The appeals officer in relation to such an appeal must be the head teacher, except where the appraiser is the head teacher, when the appeals officer must be the chairman of the governing body.
- (4) Where the appeals officer is the chairman of the governing body, an external adviser must assist him or her.
- (5) The appeals officer must within 10 school days of receiving the appraisal statement under regulation 31(2)(b) conduct and conclude a review of the appraisal and must take account of any representations made by the school teacher.
- (6) The appeals officer may –
- (a) order the appraisal statement to stand with or without observations of the appeals officer; or
 - (b) with the agreement of the appraiser amend the appraisal statement; or
 - (c) order that the appraisal statement be expunged and order a new appraisal.
- (7) Where a new appraisal is ordered under paragraph (6)(c), a new appraiser must be appointed in accordance with regulation 21 and the appeals officer must determine which appraisal procedures must be repeated.
- (8) Where it appears to the appeals officer that there is no suitable new appraiser who can be appointed for the school teacher under regulation 21, the appeals officer must appoint as a new appraiser for the school teacher a member of the school's governing body.
- (9) No governor who is a teacher or other member of staff at the school may be appointed as an appraiser of a school teacher under paragraph (8).
- (10) All appraisal procedures determined to be repeated under paragraph (7) must be completed within 15 school days from the date of the review officer's order under paragraph (6) (c).
- (11) The appeals officer may not –
- (a) determine that new objectives be agreed or set in accordance with regulation 26; or
 - (b) determine that the objectives agreed or set under regulation 26 be revised.
- (12) References in this regulation and in regulations 31 and 32 to an appraisal statement are references to a statement prepared under regulation 29(4), including, in the case of regulations 31 and 32, any observations added by an appeals officer under paragraph (6)(a).

Provision and retention of appraisal statements

- 31.** – The appraiser must give a copy of the appraisal statement to the head teacher.
- (2) The following persons may request a copy of the appraisal statement and the head teacher must upon such request make a copy of the appraisal statement available to that person—
- (a) the appraiser;
 - (b) any appeals officer within five school days of the governing body receiving notice of an appeal under regulation 30(2), who must also be given a copy of the statement of objectives;
 - (c) any governors responsible for advising about, or taking decisions in relation to, the promotion of school teachers or the use of any discretion in relation to pay; and

- (d) in the case of a school teacher employed at a school which does not have a delegated budget (within the meaning of Chapter IV of Part II of the School Standards and Framework Act 1998) the Chief Education Officer or any officer or adviser specifically designated by the Chief Education Officer to be responsible for advising about, or taking decisions in relation to, the promotion of school teachers or the use of any discretion in relation to pay.
- (3) Where the school teacher is eligible for pay progression under the Document, the appraiser must provide to the head teacher a recommendation on pay progression, having regard to the school teacher's appraisal statement.
- (4) The head teacher must provide a copy of the annex to the appraisal statement referred to in regulation 29(4) to the person or persons responsible for planning the training and development of school teachers at the school.
- (5) The head teacher must make a school teacher's current statement of objectives available to a new appraiser appointed otherwise than at the beginning of an appraisal cycle.
- (6) A school teacher's appraisal statement must be kept by the head teacher until at least three years after the next appraisal statement has been finalised.

Information from appraisal statements

- 32.** – (1) Relevant information from appraisal statements may be taken into account by head teachers, school governing bodies (including committees of governing bodies), Chief Education Officers or any officers or advisers specifically designated by a Chief Education Officer under regulation 31(2)(d) in taking decisions, and in advising those responsible for taking decisions, about the promotion, dismissal or discipline of school teachers or the use of any discretion in relation to pay.
- (2) Appraisal procedures in respect of a school teacher as described in these Regulations will not constitute any steps that must be taken in disciplinary or dismissal procedures brought against the school teacher.

Transitional provision

- 33.** Regulations 31 and 32 apply in relation to appraisal records produced and maintained under the Education (School Teacher Appraisal) (Wales) Regulations 1999 or under the School Teacher Appraisal (Wales) Regulations 2002 as they apply in relation to appraisal statements.

PART IV

Appraisal of Unattached Teachers

Application of Part IV

- 34.** – (1) Regulations 35 to 45 apply to the appraisal of unattached teachers.
- (2) In this Part IV "school" ("ysgol") includes a pupil referral unit and references to a head teacher include reference to a teacher in charge of a pupil referral unit.

Requirement on authority to produce a performance management policy

- 35.** – (1) The authority must have a written policy ("the performance management policy") setting out how the appraisal of unattached teachers is to be implemented.
- (2) The authority must review the performance management policy every school year.
- (3) Following such review the authority must if it sees fit amend the performance management policy.
- (4) Before establishing or amending the performance management policy the authority must consult all their unattached teachers about the formulation of the performance management policy or its amendment.
- (5) The authority must implement the performance management policy.
- (6) The authority must make a copy of the performance management policy available for inspection at any reasonable time by:
- (a) any unattached teacher;
 - (b) any person involved in the inspection of the operation of the unattached teacher appraisal system;
 - (c) any appraiser appointed in accordance with these Regulations.

Appointment of appraisers for unattached teachers

- 36.** – (1) Subject to the following paragraphs the authority is the appraiser for every unattached teacher.
- (2) The authority may delegate some or all of the duties imposed on an appraiser to a school teacher at a school where the predominant part of the working time of the unattached teacher is spent, or to such other person whom they consider best placed to manage and review the unattached teacher's performance.
- (3) The authority may appoint a new appraiser in place of an existing appraiser at any time or they may perform those duties themselves.

The appraisal cycle

- 37.** – (1) Subject to the following provisions of this regulation the authority must determine the timing of the appraisal cycle for every unattached teacher employed by it.
- (2) Except as provided for in paragraphs (3), (4) and (5) the length of an appraisal cycle is one year.

- (3) In the case of the first appraisal cycle under these Regulations of an unattached teacher in post on the relevant date, the authority may determine that the length of the appraisal cycle is a period other than one year.
- (4) In the case of the first appraisal cycle under these Regulations of an unattached teacher not in post on the relevant date, the authority may determine that the length of the first appraisal cycle is a period of less than one year.
- (5) In the case of an unattached teacher employed under a contract of employment for a fixed term of less than one year, performance must be managed throughout the term of the contract and reviewed at the end of that term.
- (6) The authority must take all reasonable steps to secure that the first appraisal cycle for every unattached teacher in post on the relevant date begins no later than 31 December 2012.
- (7) Once begun, appraisal cycles for every unattached teacher will be continuous.
- (8) The appointment of a new appraiser will not cause an unattached teacher's appraisal cycle to begin again save as may be provided for in paragraph (9).
- (9) Where an unattached teacher transfers to a new post within the authority part way through an appraisal cycle, the authority must determine whether the cycle is to begin again and if so whether to appoint a new appraiser.

Appraisal procedures

- 38.** – (1) Subject to paragraph (2) and to regulations 39 to 43 the authority must determine the procedures for the appraisal of unattached teachers.
- (2) If some or all of the authority's duties in respect of an unattached teacher have been delegated to a teacher at a school in accordance with regulation 36(2) then subject to regulations 39 to 43 the procedures for the appraisal of that unattached teacher must be those determined by the school's governing body pursuant to regulation 25.

Planning of appraisal and setting of objectives

- 39.** – (1) Before or at the start of the appraisal cycle, the appraiser and the unattached teacher must meet to plan and prepare for the appraisal and to seek to agree the unattached teacher's objectives which must take account of such relevant evidence as the appraiser and the unattached teacher agree (or, in the absence of agreement, such relevant evidence as the appraiser decides) but which will include the Pupil Performance Information and must relate to –
- (a) developing and improving the unattached teacher's professional practice;
 - (b) the unattached teacher's job description;
 - (c) any relevant pay progression criteria;
 - (d) any relevant whole-school or team objectives specified in the School Improvement Plan; and
 - (e) the professional standards for school teachers as specified by the Welsh Ministers from time to time.
- (2) The unattached teacher's objectives described in (1) may also take into account—
- (a) the unattached teacher's professional aspirations; and
 - (b) any national priorities for school improvement set by the Welsh Ministers from time to time.
- (3) The unattached teacher's objectives will be such that, if they are achieved, they will contribute to improving the progress of pupils at schools where the unattached teacher works.
- (4) If objectives are not agreed under paragraph (1), the appraiser must set out in writing such objectives as the appraiser considers appropriate, and the unattached teacher may add comments in writing.
- (5) The objectives agreed under paragraph (1), or where objectives have not been agreed the objectives set out in writing under paragraph (4), and the unattached teacher's written comments, must be recorded in a written statement of objectives.
- (6) When the objectives are set, the appraiser and the unattached teacher must seek to agree on the support that will be required for the unattached teacher to meet the objectives. If agreement cannot be reached the appraiser will determine the support that is required.
- (7) The unattached teacher must during the course of the appraisal cycle keep an up-to-date record of –
- (a) the unattached teacher's own assessment of performance against the objectives recorded in the statement of objectives;
 - (b) particulars of any professional development activities undertaken or other support provided and how this is contributing to achievement of the objectives; and
 - (c) particulars of any factors which the unattached teacher considers are affecting performance against the recorded objectives.

Revising objectives

- 40.** – (1) An unattached teacher's objectives may be revised by the appraiser at any time during the appraisal cycle.
- (2) Where an unattached teacher's objectives are revised under paragraph (1) –
- (a) the statement of objectives must be amended to show the revisions;
 - (b) references in these Regulations to the unattached teacher's objectives will be read as references to the revised objectives; and
 - (c) references in these Regulations to the unattached teacher's statement of objectives will be read as references to the amended statement of objectives.

Monitoring progress

- 41.** – (1) The appraiser and the unattached teacher must seek to agree at a meeting held under regulation 39 on the procedures for monitoring the unattached teacher's performance against the objectives agreed under regulation 39(1) or where objectives have not been agreed, the objectives set out in writing under regulation 39(4).
- (2) If procedures are not agreed under paragraph (1) the appraiser must set out in writing such procedures for monitoring the unattached teacher's performance as the appraiser considers appropriate.
- (3) Procedures whether agreed under paragraph (1) or set out in writing under paragraph (2) must include:
- (a) a requirement for the appraiser in appraising the unattached teacher to observe the unattached teacher teaching on at least one occasion during the appraisal cycle;
 - (b) a requirement for the appraiser to seek information from those with relevant professional knowledge of the unattached teacher at other places at which the unattached teacher regularly spends part of their working time.
- (4) Subject to paragraphs (3) and (5) an appraiser may not obtain from any other person information, whether written or oral, relevant to the unattached teacher's performance unless the unattached teacher consents or the information is obtained in accordance with procedures agreed under paragraph (1) or where procedures have not been agreed the procedures set out in writing under paragraph (2).
- (5) Paragraph (4) does not apply to any information which the appraiser is entitled to receive under any other provision of these Regulations.

The appraisal review and the appraisal statement

- 42.** – (1) At or near the end of the appraisal cycle the appraiser and the unattached teacher must hold an appraisal review, with the object of—
- (a) assessing the extent to which the unattached teacher has met the objectives recorded in the statement of objectives as set out in regulation 39(1), taking account of the record that the unattached teacher must keep in accordance with regulation 39(7);
 - (b) determining whether there has been successful overall performance as considered against the professional standards for school teachers as specified by the Welsh Ministers from time to time; and
 - (c) identifying the need for additional support, training or development and ways of meeting such needs also taking account of the record described in regulation 39(7).
- (2) The date on which an appraisal review is to be held will be determined by the appraiser, but at least 10 school days notice (in writing) must be given to the unattached teacher of that date.
- (3) The unattached teacher must, at least five school days before the appraisal review, submit to the appraiser the record maintained under regulation 39(7) and the record must be considered at the appraisal review.
- (4) Within 10 school days after each appraisal review, the appraiser must prepare a written statement recording the main points made by the appraiser and the unattached teacher at the review and the conclusions reached, and there must be recorded in an annex to the statement (which will form part of the statement) the training and developmental needs and ways of meeting such needs identified at the review.
- (5) An appraisal review under paragraph (1) may be combined with a meeting under regulation 39 in relation to the following appraisal cycle.
- (6) The appraiser must give the unattached teacher a copy of the statement prepared under paragraph (4) within 10 school days after the appraisal review.
- (7) The unattached teacher may, within 10 school days of receiving a copy of that statement add to it comments in writing, and such comments will form part of the appraisal statement.
- (8) Where the appraiser is not the authority, the appraiser must send a copy of the appraisal statement to the authority and to the head teacher of any school at which the unattached teacher regularly spends part of their working time.
- (9) Where the authority is the appraiser, the authority must send a copy of the appraisal statement to the head teacher of any school at which the unattached teacher regularly spends part of their working time.

Appeals

- 43.** – (1) An unattached teacher is entitled to appeal against an appraisal under these Regulations within 10 school days of receiving a copy of the appraisal statement under regulation 42(6).
- (2) Where the appraiser is a teacher at a school the provisions of regulation 30(2) to (12) will apply, save that reference in those paragraphs to an appraisal statement will be references to a statement prepared under regulation 42(4) including for the purposes of regulations 31 and 32 any observations added by an appeals officer under paragraph (6)(a) of regulation 30.
- (3) Where the authority is the appraiser any appeal will be made in writing to the authority in accordance with their appeals procedures applicable to all staff save as may be inconsistent with this regulation.
- (4) The appeals officer must within 10 school days of receiving the appraisal statement under regulation 44(2)(b) conduct and conclude a review of the appraisal and must take account of any representations made by the unattached teacher.
- (5) The appeals officer may –
- (a) order the appraisal statement to stand with or without observations of the appeals officer; or
 - (b) with the agreement of the appraiser amend the appraisal statement; or
 - (c) order that the appraisal statement be expunged and order a new appraisal.
- (6) Where a new appraisal is ordered under paragraph (5)(c), a new appraiser must be appointed in accordance with regulation 36 and the appeals officer must determine which appraisal procedures must be repeated.

(7) Where it appears to the appeals officer that there is no suitable school teacher at a school where the unattached teacher spends the predominant part of their working time to be a new appraiser who can be appointed for the unattached teacher, the appeals officer must appoint as a new appraiser for the unattached teacher a member of that school's governing body (other than a governor who is a teacher or other member of staff) or any other person suitable to manage and review the unattached teacher's performance.

(8) All appraisal procedures determined to be repeated under paragraph (6) must be completed within 15 school days from the date of the appeals officer's order under paragraph (5)(c).

(9) The appeals officer may not –

- (a) determine that new objectives be agreed or set; or
- (b) determine that the objectives agreed or set under regulation 39(1) be revised.

(10) References in this regulation and in regulations 44 and 45 to an appraisal statement are references to a statement prepared under regulation 42(4), including, in the case of regulations 44 and 45, any observations added by an appeals officer under paragraph (5)(a).

Provision and retention of appraisal statements

44.– (1) The appraiser must give a copy of the appraisal statement to –

- (a) the head teacher at every school at which the unattached teacher regularly spends part of their working time; and
- (b) the authority.

(2) The following persons may make a request for a copy of the appraisal statement and the authority must upon such request make a copy of the appraisal statement available to that person –

- (a) the appraiser;
- (b) any appeals officer within five school days of the authority receiving notice of an appeal under regulation 43 who must also be given a copy of the statement of objectives; and
- (c) the Chief Education Officer or any officer or adviser specifically designated by the Chief Education Officer to be responsible for advising about, or taking decisions in relation to, the promotion of unattached teachers or the use of any discretion in relation to pay.

(3) Where the unattached teacher is eligible for pay progression under the Document, the appraiser must provide to the authority a recommendation on pay progression, having regard to the unattached teacher's appraisal statement.

(4) The authority must provide a copy of the annex to the appraisal statement referred to in regulation 42(4) to the person or persons responsible for planning the training and development of school teachers at any school at which the unattached teacher regularly spends part of their working time.

(5) The authority must make an unattached teacher's current statement of objectives available to a new appraiser appointed otherwise than at the beginning of an appraisal cycle.

(6) An unattached teacher's appraisal statement must be kept by the authority until at least three years after the next appraisal statement has been finalised.

Information from appraisal statements

45. – (1) Relevant information from appraisal statements may be taken into account by an authority, Chief Education Officers or any officers or advisers specifically designated by a Chief Education Officer under regulation 44(2)(c) in taking decisions, and in advising those responsible for taking decisions, about the promotion, dismissal or discipline of unattached teachers or the use of any discretion in relation to pay.

(2) Appraisal procedures in respect of an unattached teacher as set out in these Regulations will not constitute any steps that must be taken in disciplinary or dismissal procedures brought against an unattached teacher.

Transitional provision

46. Regulations 44 and 45 apply in relation to appraisal records produced and maintained under the School Teacher Appraisal (Wales) Regulations 2002 as they apply in relation to appraisal statements.

Amendment to the School Government (Terms of Reference) (Wales) Regulations 2000

47. – (1) In regulation 2(1) omit the definitions of "school teacher", "school term" and "short term contract".

(2) At the end of regulation 2(2)(a) insert "and" and in regulation 2(2)(b) omit "and".

(3) Delete regulation 2(2)(c).

(4) Delete regulation 10.

Leighton Andrews

Minister for Education and Skills, one of the Welsh Ministers

6 December 2011

SCHEDULE

Savings and General Transitional Provisions

The Appraisal Cycle

1. Where a head teacher, school teacher or unattached teacher has completed an appraisal cycle under the provisions of the 2002 Regulations, then any appeal against the appraisal must be made in accordance with the appeals procedures set out in the 2002 Regulations.
2. Where a head teacher, school teacher or unattached teacher is part-way through an appraisal cycle under the 2002 Regulations on the date upon which these Regulations come into force, then (subject to paragraph 3) that appraisal cycle must continue under the provisions of the 2002 Regulations until such time as a new appraisal cycle begins under these Regulations.
3. Where a head teacher, school teacher or unattached teacher has completed or is part-way through an appraisal cycle under the provisions of the 2002 Regulations, any appraisal review meeting in respect of that appraisal cycle that is due under the provisions of the 2002 Regulations after the date that these Regulations come into force, may be conducted by the appraiser or appraisers (as appropriate) appointed in respect of that head teacher, school teacher or unattached teacher under the provisions of these Regulations ("the new appraisers"), if the new appraisers elect to do so. Such appraisal review meeting may be subject to the provisions of regulations 15(5), 29(5) and 42(5) (as appropriate) at the discretion of the new appraisers.

APPENDIX 2

MODEL PERFORMANCE MANAGEMENT POLICY

The Governing Body of [] School adopted this performance management policy on [].

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1. ABOUT THIS POLICY

This policy sets out the performance management arrangements for the headteacher and teachers of [insert name of school]. It has been agreed by the governing body, headteacher and local authority and follows consultation with all staff members and recognised trade unions. It describes the purpose, procedures, roles and responsibilities that will ensure that the school's performance management arrangements contribute to the professional development of its staff and to the achievement of wider development objectives for the school and its learners.

The policy will be reviewed annually and any necessary amendments will be the subject of further consultation with staff members. The policy was last reviewed on **[insert date of last review]**.

The headteacher will provide the governing body with an annual written report on the operation and effectiveness of this policy, including the training and development needs arising from the performance management process.

This policy has been produced with due regard to the current appraisal regulations and accompanying guidance published by the Welsh Government. These can be found at:

Regulations

www.legislation.gov.uk/wsi/2011/2940/contents/made.

Guidance

<http://learning.wales.gov.uk/yourcareer/performancemanagement/pmguidance/?lang=en>.

This policy does not apply to:

- newly qualified teachers undergoing their statutory period of induction who are exempted from performance management arrangements;
- teachers employed for a fixed period of less than one school term.

¹ This is an NASUWT Annex

2. PRINCIPLES UNDERPINNING PERFORMANCE MANAGEMENT

Performance management is a school improvement tool which is fully inclusive. It sets a framework for teachers and school leaders to agree and review priorities and objectives in the context of the school's improvement plan. Performance management provides the opportunity of a shared commitment to achieving high standards. It helps to focus attention on more effective teaching and, therefore, benefits pupils, teachers and the school. It means providing appropriate and effective training, guidance and development opportunities to individuals to ensure job satisfaction, a high level of expertise and career progression.

The following principles will underpin our performance management arrangements.

- Trust, confidentiality and professional dialogue between appraiser and appraisee.
- Consistency, so that all staff are treated fairly.
- Recognition of strengths and a commitment to share effective practice.
- A commitment to provide constructive feedback on performance.
- Rigorous and evidence-based.
- A shared commitment to meeting the school's improvement plan and appropriate national priorities.
- The Policy is intended to be developmental and supportive.
- The Policy will be central to school improvement planning and self-evaluation.

The Governing Body recognise the entitlement of a work/life balance for teachers and the headteacher as established within the School Teachers' Pay and Conditions Document (STPCD). Consequently, the policy has been workload impact assessed (see Annex A) and the school will organise all performance management activities within directed time but not within planning, preparation and assessment (PPA) time.

The Governing Body is committed to ensuring that the performance management process is fair and non-discriminatory.

3. PROFESSIONAL STANDARDS

Teachers are required to meet the Practising Teacher Standards at the end of their induction period and must continue to meet them throughout their career. The headteacher is required to meet the Leadership Standards. Other practitioners may choose to use the Leadership Standards as a reference for their leadership development where this is identified as a priority for their professional development.

The professional standards should be considered as a whole to provide a backdrop to discussion and to help practitioners identify areas for further development.

The relevant professional standards can be found at www.wales.gov.uk/topics/educationandskills/publications/circulars/practitioners/?lang=en.

4. TIMING OF THE PERFORMANCE MANAGEMENT CYCLE

The school's annual performance management cycle will start on **[insert date]** and be completed by **[insert date]**.

The appraisal cycle has been timed to link with the school's annual planning cycle.

5. APPOINTMENT OF APPRAISERS

The headteacher will appoint an appraiser for every teacher in the school. The appraiser would normally be the line manager of the appraisee. The appraiser will conduct all aspects of the review, including pay recommendations for teachers who are eligible.

Teachers and the headteacher have the right to object to an appraiser on the grounds of consistency and fairness.

The headteacher's appraisal will be carried out by a panel consisting of:

- at least two governors appointed by the governing body;
- one or two representatives appointed by the local authority.

6. THE PERFORMANCE MANAGEMENT PLAN

Performance management will be a continuous cycle throughout the year involving three stages of planning, monitoring performance and reviewing performance.

The appraiser(s) will meet with the teacher/headteacher at the start of the cycle to plan and prepare for the annual appraisal. This meeting may be combined with the review meeting held at the end of the previous cycle.

All teachers, including the headteacher, will have no more than three objectives.

The meeting will seek to agree the following:

- The objectives for the cycle and professional development activities to support achievement of the objectives.
- The three objectives will relate to an agreed whole school objective and a departmental objective based on the School Improvement Plan (SIP), and an objective that reflects the professional development aspirations of the teacher.
- The objectives will be challenging, realistic, achievable, time-bound, fair and equitable in relation to teachers with similar roles, responsibilities and experiences.
- The agreed objectives will have regard to what can reasonably be expected of any teacher or the headteacher given the desirability of the appraisee to achieve a satisfactory work/life balance.
- Objectives may be revised by the appraiser in exceptional circumstances and the reasons must be recorded. Additionally, objections may be recorded by the appraisee.
- A record of the planning meeting will be kept by the appraiser and appraisee (see Annex B).
- There will be no requirement to schedule formal review meetings during the cycle but informal discussions may take place and should be agreed at the planning meeting. They may coincide with feedback from lesson observations and a written record should be kept.

Monitoring Procedures

The monitoring procedures including arrangements for observation of teaching are as follows:

- As a minimum, the appraiser is required to observe the appraisee teaching on at least one occasion during the cycle. Although there is no maximum requirement, lesson observations will not ordinarily exceed one per term with the lesson observations lasting no more than one hour. The focus and timing of the observations will be agreed and recorded at the planning meeting.
- Following discussion during the appraisal cycle, the appraisee and the appraiser may agree to revisit the amount of lesson observation in order to support the achievement of meeting any objectives. Any such changes will be formally recorded within the appraisal documentation and signed by the appraisee and the appraiser.
- An agreed classroom observation protocol will support the monitoring process (see Annex C).
- Classroom observation will be undertaken solely by persons with Qualified Teacher Status (QTS). The appraisee will be given a record of the lesson observation (see Annex D).
- Lesson observation will normally be undertaken by the appraisers, who must observe the appraisee on at least one occasion. However, it may be agreed at the planning meeting that some of the observation will be carried out by a person other than the appraiser.
- Where the observation is undertaken by a person other than the appraiser, a record of the lesson observation must be given to the appraiser and the appraisee.
- The selection of the lessons to be observed will be balanced to reflect the range of work undertaken by the appraisee.
- The appraiser will take into account the effects of the appraisee's circumstances, including any disability, when agreeing objectives. For example, this might include a reasonable adjustment to allow an individual slightly longer to complete a task than might otherwise be the case.
- Where the appraisee returns from a period of extended absence, objectives may be adjusted to allow them to readjust to their working environment.
- All judgemental lesson observations, as referred to in the Welsh Government guidance on observation (see Annex G), will be undertaken through performance management other than during an Estyn inspection, or by Estyn in circumstances where an inspection report categorises a school as requiring significant improvement or special measures, or a teacher becoming subject to capability procedures, or a teacher on induction or a graduate teacher programme assessment.
- Following the planning meeting, no information may be sourced from another person, either written or verbal, without the consent of the appraisee.

In the case of the headteacher's performance plan only, the chair of the governing body will provide, on request, a copy of the headteacher's objectives to Estyn.

The arrangements for monitoring performance against the objectives, including the use of observation, will be decided during the planning meeting and recorded by the appraiser(s).

The appraisee and appraiser(s) will keep progress under review throughout the cycle, including the use of informal discussion.

Appraisees are required to maintain an up-to-date practice, review and development (PRD) record during the course of the appraisal cycle.

The purpose of the PRD record is to support appraisees in:

- meeting the requirements of the appraisal regulations to keep an up-to-date record of:
 - o their own assessment of their performance against their performance management objectives;
 - o professional development undertaken, or other support provided, and how this is contributing to the achievement of objectives;
 - o any factors which the practitioner considers are affecting performance against the objectives;
- providing a focus for discussion at the review meetings and may be discussed informally during the cycle and at the planning meeting for the next cycle.

The PRD record is a personal record held by an appraisee but it will be required for use in the review meetings and should inform the planning meeting for the next cycle.

The PRD record will not form part of the appraisal statement.

The PRD record should be a short, concise document (see Annex E).

7. THE REVIEW MEETING

At the end of the performance management cycle a formal review meeting will be held where the appraiser and appraisee will discuss achievements, any areas for improvement and professional development activities. On the understanding that the planning meeting is a separate process, this meeting may be combined with the planning meeting for the next annual cycle.

The PRD record will provide a focus for the review meeting.

The purpose of the review meeting will be to:

- assess the extent to which the appraisee has met their objectives;
- determine whether there has been successful overall performance in confirming the appraisee continues to meet the relevant professional standards;
- if necessary, identify the need for additional support, training or development and how this will be met.

Good progress towards the achievement of a challenging objective will be assessed favourably.

No information may be sourced from another person, either written or verbal, without the consent of the appraisee.

8. THE APPRAISAL REVIEW STATEMENT

Within ten school days of the review meeting the appraiser(s) will provide the appraisee with a written statement of the main points made at the review meeting and the conclusions reached. Annexed to the statement will be a summary of professional development needs and an indication of how these might be met (see Annex F).

The appraiser will seek to agree the final wording of the appraisal statement with the appraisee.

The appraisee may, within ten school days of receiving the final appraisal statement, add comments in writing. These comments will then form part of the statement.

The appraiser must not obtain information from any other person, whether written or oral, relevant to an appraisee's performance without the consent of the appraisee.

Both the appraisal statement and the annex are confidential documents and must be kept in a secure place. The provisions of the Data Protection Act will be followed at all times.

9. PAY PROGRESSION RECOMMENDATIONS

Pay progression recommendations must be made by the appraiser or eligible teachers as a result of their performance management review when teachers have met or made significant progress towards meeting their objectives (see Annex H). The performance review at the end of the cycle must be the only source of evidence teachers require to support pay progression. However, should teachers wish to submit additional evidence they can do so, but they will not be requested or directed to submit additional evidence or penalised if they choose not to do so.

10. APPEALS

The appraisee may appeal against the appraisal statement within ten school days of receiving the appraisal statement. An appeals officer or, in the case of the headteacher, an appeals panel will be appointed to conduct a review.

All appeals will be conducted in accordance with the current Appraisal Regulations and the associated Welsh Government guidance.

In summary, the appeal process will involve the following stages.

- Appraiser lodges appeal with the governing body.
- Appeals officer/panel appointed.
- Appeals officer/panel provided with copy of appraisal statement within five school days of receiving notice of appeal.
- Appeal review will be carried out within ten school days of receiving appraisal statement.
- The appeals officer/panel must take into account any representations made by the appraiser.
- The appeals officer/panel may then decide:
 - o that the appraisal has been carried out satisfactorily
 - o with the agreement of the appraiser(s), to amend the appraisal statement;
 - o to order that a new appraisal be carried out.
- If there is a determination for a new appraisal, the process should take no more than fifteen school days.
- The appeals officer/panel cannot determine that:
 - o new objectives can be set
 - o existing objectives be revised.

11. USE OF APPRAISAL STATEMENTS

The whole performance management process, the statement of objectives and the appraisal statement are personal and confidential documents and will be kept in a secure place.

Teachers

The appraiser must give a copy of the appraisal statement to the appraiser and to the headteacher. In turn, the headteacher will, on request, provide a copy to:

- the appraiser;
- an appeals officer;
- any governors responsible for making decisions or giving advice on matters in relation to pay.

Where the appraiser is eligible for pay progression under the STPCD, the appraiser will provide a recommendation on pay progression to the headteacher in line with provisions of the STPCD (see Annex H).

The headteacher will provide a copy of the annex to the appraisal statement detailing professional development needs to the person with whole-school responsibility for planning provision for training and development.

The appraisal statement will be kept by the headteacher in a safe and secure place until at least six years after the next appraisal statement has been finalised. This length of time is in line with threshold arrangements.

Headteacher

In the case of the headteacher's performance management, the appraisers will give copies of the appraisal statement to the headteacher, the chair of the governing body and the chief education officer. Appraisers will also, on request, provide a copy to any governors responsible for making decisions or giving advice on matters in relation to pay.

The chair of the governing body will also provide, on request, a copy of the headteacher's appraisal statement to:

- any officer designated by the chief education officer responsible for the performance of headteachers;
- any appeals officer.

The chair of the governing body will provide a copy of the annex to the appraisal statement detailing professional development needs to the person with whole-school responsibility for planning provision for training and development.

The appraisal statement will be kept by the governing body in a safe and secure place until at least six years after the next appraisal statement has been finalised. The headteacher will also keep a copy of the appraisal statement for the same period of time.

Information from the headteacher's appraisal statement may be taken into account by the governing body (or its committees) in matters relating to the promotion, discipline or dismissal of the headteacher or in relation to any discretion over pay.

12. PREVENTING UNDERPERFORMANCE

Effective line management arrangements, including the effective use of the procedures outlined in this policy, will help prevent underperformance through early identification, support and intervention.

If a teacher's performance is causing serious concern and evidence has been provided to demonstrate this, then the informal stage of the capability procedure should be applied.

Information from the appraisal statement can be taken into account when making decisions about pay, promotion, dismissal, or disciplinary matters. However, the performance management procedures set out in this policy, including the review meeting and appraisal statement, do not form part of any disciplinary, competency or capability procedures.

13. TRAINING AND SUPPORT

The school's continuing professional development (CPD) programme will be informed by the training and developmental needs identified in the training annex of the appraisee's planning and review statements.

The governing body will ensure in the budget planning that, as far as possible, appropriate resources are made available for any training and support agreed for appraisees.

An account of the training and developmental needs of teachers, including the instances where it did not prove possible to provide any agreed CPD, will form part of the headteacher's annual report to the governing body about the operation of the performance management process within the school.

Appraisees will not be held accountable for failing to make good progress towards meeting their performance management objectives where the support recorded in their planning statement was not provided.

All appraisers will be provided with training to enable them to discharge all aspects of their role appropriately and effectively.

14. MONITORING AND EVALUATION

The governing body and the headteacher will monitor the operation and effectiveness of the school's appraisal arrangements.

The headteacher will provide the governing body with a written report on the operation of the school's appraisal and capability policies annually. The report will not identify any individual by name. The report will include an assessment of the impact of these policies on: race, sex, sexual orientation, disability, religion and beliefs, age, part-time status and maternity and pregnancy.

The headteacher will report on whether there have been any appeals or representations on an individual or collective basis on the grounds of alleged discrimination.

ANNEX A: WORKLOAD IMPACT ASSESSMENT CHECKLIST

- This policy has been assessed against the agreed system to monitor the workload and working hours of teachers and the headteacher. ☐
- This policy complies with and is consistent with the teachers' contractual entitlements. ☐
- This policy and any related procedures were introduced following full consultation with the teacher trade unions. ☐
- This policy and any related procedures include a specific statement regarding workload impact. ☐
- This policy and any related procedures will not add additional hours of working. ☐
- This policy does not duplicate any other existing policy. ☐
- The resources necessary to support this policy, including staff time, any additional staffing and appropriate equipment, have been identified. ☐
- The implementation of this policy will not result in any additional meetings/activities that have not been identified within the school calendar, published and revised in consultation with teacher trade unions. ☐
- All staff (including the headteacher) will be trained to ensure that this policy and any related procedures are carried out without increasing workload burdens. ☐
- This policy and any related procedures will be reviewed annually to ensure that additional workload burdens have not been added over time. ☐

ANNEX B: PLANNING RECORD TEMPLATE

Name of Appraisee: _____

Name of Appraiser: _____

Date of meeting: _____

Objectives:

1.

2.

3.

Development and training: _____

Resources to support the objectives: _____

Procedure for monitoring progress: _____

Appraisee's comments:

Appraisee (signature): _____

Appraiser (signature): _____

Date: _____

ANNEX C: LESSON OBSERVATION PROTOCOL

Introduction

This governing body is committed to ensuring that lesson observation is developmental and supportive and that those involved in the process will:

- carry out the role with professionalism, integrity and courtesy;
- seek to reach agreement in advance on how lesson observations are to be carried out;
- evaluate objectively;
- report accurately and fairly; and
- respect the confidentiality of the information gained.

Planning and preparing for lesson observation

In keeping with the school governing body's commitment to supportive and developmental lesson observation, the headteacher will:

- consult teachers on the pattern of lesson observation which they can expect annually and seek agreement with teachers and union representatives on these arrangements;
- ensure that those being observed for all purposes will be notified at least five working days in advance;
- arrange, as far as possible, for all observations to take place at a time agreed between the appraisee and the observer;
- ensure that there is a reasonable amount of time between lesson observations, irrespective of the purpose of those observations;
- ensure that classroom observation will be undertaken solely by persons with qualified teacher status (QTS) and the appropriate training and professional skills to undertake observation and to provide constructive oral and written feedback and support, in the context of professional dialogue between colleagues.

Planning for observation will take place at the start of the appraisal/performance management cycle and will include details of:

- the amount of observation;
- the focus of the observation;
- the duration of the observation;
- when during the performance management cycle the observation will take place; and
- who will conduct the observation.

In order that lesson observation is kept to a minimum, and to support efforts to deliver the school's commitment to streamlining data collection and minimising bureaucracy and workload burdens on appraisees, the information gathered will be used for multiple purposes, including informing school self-evaluation and school improvement strategies. This will enable the headteacher, in the exercise of her/his duty, to evaluate the standards of teaching and learning, and to ensure that proper standards of professional performance are established and maintained.

Before any lesson observation is conducted, there will be an opportunity for the appraiser and appraisee to meet within directed time in order that the context of the lesson to be observed can be discussed.

Conducting observation

There will be a limit of a total of three observations for all purposes. Under no circumstances shall the total time occupied by all observations exceed three hours per year and the focus and timing must be agreed in the appraisee's performance management planning record.

Neither pupils nor governors will undertake observations (although governors may, by prior agreement with the teacher concerned, visit a lesson to familiarise themselves with their link area).

Feedback and records

Oral feedback will be given as soon as possible after the lesson observation and no later than the end of the following working day. It will be given during directed time in a suitable, private environment. Time for preparation and feedback for lesson observation for performance management/appraisal purposes will be made available in addition to PPA time.

Written feedback will be provided within five working days of the observation taking place. If issues emerged from an observation that were not part of the focus of the observation as recorded in the planning and review statement, these should also be covered in the written feedback and the appropriate action discussed with the appraisee.

The written record of feedback will include the date on which the observation took place, the lesson observed and the length of the observation. The appraisee has the right to append written comments on the feedback document. No written notes in addition to the written feedback and appraisee's comments will be kept. The appraiser will be given sufficient time within the school day to put in written form the conclusions agreed with the appraisee on the outcomes of the classroom observation.

Teachers will have access to all written accounts of the observation after their lessons and, if they request, copies will be provided.

Classroom observation and formal capability procedures

For teachers on a formal capability procedure, an important part of the support offered to the teacher will be a clearly defined amount of classroom observation with structured oral and written feedback. The amount of classroom observation will be discussed with the teacher and their union representative who is supporting and advising them in the formal process.

NB: This protocol must be applied in the context of the Welsh Government Guidance on Classroom Observation at Annex G and the National Action Instructions. See www.nasuwt.org.uk/IndustrialAction.

ANNEX D: LESSON OBSERVATION FEEDBACK TEMPLATE

Date of feedback: _____

Date of observation: _____

Class observed: _____

Strengths:

Areas for development:

Teacher's comments:

Observer (signature): _____

Appraisee (signature): _____

ANNEX E: PRACTICE, REVIEW AND DEVELOPMENT RECORD TEMPLATE

PRACTICE REVIEW AND DEVELOPMENT RECORD										
Objective	Professional development activities and support provided		Contribution of professional development activities and support to meeting objectives			Factors that are affecting performance against the objectives		Assessment of progress against the objectives		
	Description	Date	Very helpful	Helpful	Unhelpful	Description	Date	Met	Partially met	Not met
To be completed at the planning meeting	<i>To be completed at the planning meeting</i>	<i>Add as confirmed</i>	<i>Tick as appropriate</i>			<i>To be added during the cycle, if necessary</i>		<i>Tick as appropriate</i>		

ANNEX F: APPRAISAL STATEMENT AND ANNEX TEMPLATE

STATEMENT

Date of Review Meeting: _____

Appraisee: _____

Appraiser: _____

Please list the objectives and indicate whether they have been met or whether they require further development.

Objectives:

1.

2.

3.

Areas of particular strength (specify):

ANNEX TO STATEMENT

Areas to be developed, if any, through training, development and support:

Support and resources to be provided by school (specify):

Appraisee's comments:

The content of this record has been agreed by:

Appraisee (signature): _____

Appraiser (signature): _____

Date of receipt of the completed review statement by the appraisee: _____

ANNEX G: WELSH GOVERNMENT GUIDANCE ON CLASSROOM OBSERVATION

Classroom Observation – Purpose and Protocols

Classroom observation can be an important tool in raising standards through supporting practitioners in sharing and developing their skills and so improving outcomes for learners. Whilst there is no upper limit placed on the number of occasions in which observation may take place, it is essential that the emphasis is firmly placed on the quality of experience rather than quantity.

To ensure that observation is purposeful, supportive and developmental, all those involved in arranging, carrying out or participating in observation should observe the following guidance which sets out the purpose and protocols that characterise effective practice.

What is meant by ‘classroom observation’?

‘Classroom observation’ refers to all occasions when learning and/or teaching activities are observed for a specific purpose by someone other than the class teacher and support staff normally attached to the class.

Principles and protocols

Classroom observation should observe the following principles:

- All those involved in each observation should have a shared understanding of its specific purpose. Disputes about observation procedures etc. should be dealt with through the school’s established issue resolution processes and/or recognised collective issue resolution processes where applicable.
- Where practicable and appropriate, efforts should be made to combine observations for different purposes so that the most efficient use is made of opportunities for classroom observation.
- Careful thought should be given to the choice of observer so it reflects the purpose of the observation.
- Observation should support and develop teaching and learning – there should be minimal disruption to normal classroom activity.
- Observation arrangements should be planned in advance so those involved have adequate notice.
- Observation should be objective, developmental and supportive and conducted with professionalism, integrity and courtesy.
- Successful observation requires preparation and appropriate consideration.
- As part of the school’s overall arrangements for classroom observation, those involved in the observation should seek to agree in advance the nature and timing of any feedback to be provided and with whom it is to be shared.
- Planning and feedback arrangements should take account of directed time and statutory terms and conditions of employment.

In addition, for observation involving judgements on the performance of individual practitioners, the following principles should also apply:

- Only a person holding QTS can carry out observation of teaching for the purpose of teachers’ performance management (including newly qualified teacher and Graduate Teacher Programme (GTP) assessment) and as part of capability procedures.
- The nature, purpose and amount of observation, as well as the areas to be focused on, should be determined at a planning meeting.

- The scope of teaching observed will need to be well balanced to reflect the range of a teacher's work, but should not be excessive in total.
- It is important that total time of observation is limited to no more than that required to form sound and evidenced judgements, as frequent observation sessions are disruptive and counterproductive.
- Careful consideration is required at the planning meeting of the timing and number of observation sessions to be carried out during the academic year. This consideration should also include the requirements of the appraiser to adequately prepare, carry out and report back on each session. In order to reduce bureaucracy in schools some appraisers, for example, find it helpful to link each session to natural breaks in the academic year such as terms.
- At least five working days' notice should be given of observation for these purposes.
- It is important that the observed sessions should proceed in as normal an atmosphere as possible.
- Constructive oral feedback should always be provided as soon as possible after the observation and confirmed in writing within five working days. Teachers should be given the opportunity to add their own written comments to this feedback.
- All those with access to information gained from the process should respect its confidentiality and ensure that the provisions of the Data Protection Act 1998 are followed at all times.

Purposes of classroom observation

The purposes of observation can be grouped under the following areas – these are not necessarily exhaustive or exclusive:

1. To **observe the learning** of individual learners and/or groups of learners; for example:
 - tracking progress of individuals and/or groups across the curriculum;
 - learners' experiences in different settings;
 - awareness raising for governors.
2. As part of continuing **professional development**; for example:
 - sharing effective practice;
 - shared learning and collaborative development;
 - peer observation;
 - as part of coaching and mentoring arrangements;
 - specialist guidance or advice – such as on teaching techniques, curriculum areas, use of ICT equipment, etc.
3. To **monitor the quality of teaching**, including:
 - as part of the annual performance management cycle as defined in the school's performance management policy;
 - as part of capability procedures as defined in the school's capability policy;
 - as part of the statutory induction process for newly qualified teachers as defined in Welsh Government regulations and guidance;
 - as part of the GTP (or other teacher entry programmes) as defined in Welsh Government regulations and guidance;
 - for the purposes of making judgements about teaching and learning in the school as a whole;
 - as part of inspection arrangements.

ANNEX H: PAY PROGRESSION RECOMMENDATION TEMPLATE

STATEMENT

Date of Pay Progression Recommendation _____

Appraiser: _____

Appraisee: _____

Recommendation for pay progression*:

along the main pay range (MPR) to point _____

to the upper pay range (UPR) _____

along the pay range for leading practitioners to point _____

along the unqualified teacher range (UTR) to point _____

along the leadership group pay spine to point _____

* complete as appropriate

Performance Management/Appraisal Details*

Period covered by the Appraisal Statement _____

Schools covered by Appraisal Statements _____

Declaration

In accordance with the requirement of *The School Teacher Appraisal (Wales) Regulations 2011*, and having regard to the relevant appraisal statements, I recommend that _____ should progress into _____

Appraiser (signature): _____

Appraisee (signature): _____

APPENDIX 3

TIPS ON OBJECTIVE SETTING

THE PROCESS OF SETTING OBJECTIVES

The planning meeting

Objectives are set at a planning meeting between the appraisee and appraiser. The aim is to agree the objectives for the appraisee.

Preparation

Before the meeting, appraisees need to consider the points they wish to raise. They should reflect on their job description, ensuring they have a copy of the current one, and identify issues on which objectives could focus, including professional aspirations, improving pupil progress and any relevant pay progression criteria. Consideration should also be given to professional development opportunities and other support which may be useful.

If preparatory notes for the meeting are made, they should be for personal reference, as an *aide-mémoire*, only. Self-analysis or review forms or any other document provided by the school to be completed before the planning meeting and intended to be seen by the appraiser, or to become part of the documentation made available for access by others, should not be used or completed.

Under no circumstances should teachers agree to draft their own objectives, either prior to the meeting or at any other time. Whilst this may seem superficially attractive, it is not the appraisees's responsibility and is fraught with potential difficulties.

Documentation

At the beginning of the meeting, the appraisee and appraiser should check and agree the documentation to be used. The planning record on which the outcome of the meeting will be recorded must be available also.

Reaching agreement

It is essential that appraisees approach the meeting determined not to allow themselves to be pressurised into accepting objectives, or any aspect of one, about which they have concerns or reservations.

The Regulations state that where agreement cannot be reached, the appraiser should record the objectives for the appraisee. This should not make teachers feel obliged to agree to them. If the appraiser decides to record objectives which are not agreed, the teacher should make on the planning record a brief written note that they do not agree **and state briefly their reasons for not doing so. Advice should be sought immediately from the NASUWT.**

Even in circumstances where a teacher may be satisfied generally with the outcome of the discussion, it is good practice to reflect on the recorded objectives and check the wording carefully before making a final commitment.

Recording the outcome

Teachers must ensure that the following information is clearly recorded by the appraiser on the planning record.

OBJECTIVES

Content

The NASUWT policy is that there should be no more than three objectives.

Objectives must be clear, concise and easily understood.

Objectives which are unclear, or appear complex, unrealistic and difficult to achieve, should not be agreed.

An objective should not be subdivided into several parts, as this will, in effect, increase the number of objectives.

They must relate directly to the teacher's current job description and to any relevant pay progression criteria. Objective setting is not an opportunity for school managers to allocate projects to staff which are unrelated to their work or to use as an opportunity to change the teacher's job description without due process.

There must be no reference to any voluntary or extracurricular activities such as homework, revision and maths clubs, Summer schools and activities at weekends or during holidays, even if specific payment is received for them.

Any difficulties in the teacher's working environment must be taken into account when objectives are set. Difficulties may include disruptive pupils, large class sizes, pupils with special needs in mainstream classes or inadequate resources. Teachers must be prepared to highlight these in the planning meeting.

The Regulations require a teacher's objectives to contain reference to pupil progress and ways of developing and improving professional practice. This does not automatically mean that two separate objectives are required to cover each aspect.

The objectives set must be recorded on the planning record.

Pupil progress

The focus on pupil progress in objective setting is one of the most sensitive and contentious aspects of the performance management process.

To have any statistical validity, objectives relating to pupil progress should be measured against national data on similar pupils and schools, or against general trends within the school, rather than year-on-year comparisons of internal pupil data.

The NASUWT opposes the use of objectives that commit a teacher or headteacher to improve pupil performance by a specific percentage.

It is difficult for an individual teacher or headteacher to predict accurately or guarantee that an exact percentage can be met. Many factors influencing pupil performance are outside the control of individual teachers. Slight variations in, for example, attendance of certain pupils, can affect percentage outcomes dramatically. Further, the NASUWT maintains that the use of numerical targets presents a system of 'payment by results' that has no place in the performance management process.

It is for these reasons that the NASUWT advocates that objectives relating to pupil progress should be shared rather than individual and address issues for large numbers of pupils rather than specific classes.

Teachers and headteachers should not agree to set objectives which are linked to numerical targets.

Shared objectives

The NASUWT advocates strongly the use of objectives which are shared by teachers on a whole-school, department or year-group basis. Such arrangements are provided for in the Regulations.

One or more of an appraisee's objectives could be a whole-school objective shared by all, including the headteacher. This should be agreed in consultation with teachers and their union representatives. The timescale, support and development for the objective should be identified and agreed as part of the consultation. Each teacher should be provided with a copy of the agreed whole-school objective for reference. A note of the objective should be made on the individual planning record or a copy attached to it.

It is also appropriate to set whole-department or year-group objectives shared with other colleagues. Again, the timescale, support and success criteria should be identified and agreed as part of the consultation. A copy should be supplied to each teacher and attached to, or note of it made on, the individual's planning record.

Shared objectives could be used to progress effectively issues identified in the school improvement plan.

The benefits of shared objectives are evident. They engender teambuilding, establish a focus on shared goals, address the difficulties inherent in pupil progress objectives for individual teachers, facilitate more efficient and effective planning of resources, and reduce workload and the amount of time needed for planning meetings.

An individual appraisee may, therefore, in practice, have a whole-school objective shared by all, a department/year-group objective shared by appropriate colleagues, and an individual objective.

Where shared objectives are used, NASUWT Representatives must ensure that there is genuine consultation and that the content, timescales and support accord with the NASUWT guidance. The same principles apply to these as to individual ones.

Teachers who work part time

The NASUWT is concerned that teachers working part time will be set objectives which have equivalent demands to those working full time.

Although part-time teachers should have three objectives set, the content must be appropriate to the amount of time they work and be achievable within those working hours. Teachers who have part-time contracts in two schools may be especially vulnerable to excessive demands and will need to be vigilant about the reasonableness of the objectives relating to each contract.

Although teachers in job-share arrangements share one full-time post, they are classed in law, and for the purposes of performance management, as part-time teachers. Each teacher sharing the post will have three objectives but it would be sensible for appraisers to ensure that they are complementary. Allocating the same appraiser to job-share teachers would assist the process.

Any concerns should be referred to the NASUWT for advice.

Teachers with disabilities

Teachers with disabilities must ensure that the objectives set are reasonable in the context of their disability and reflect, as appropriate, any reasonable adjustments which have been made to support their employment in accordance with legislation.

Care should also be taken that the support offered by the school to assist in meeting objectives is appropriate. For example, it would be unreasonable to expect attendance at a particular off-site training course if travel was difficult or if the venue had no provision to accommodate the teacher's disability.

Any concerns should be referred to the NASUWT for advice.

TIMESCALES

The timescale for each objective must be realistic. In general, teachers should have the whole review cycle to complete each one.

Where other timescales are agreed for an objective, this should be recorded on the planning record.

SUPPORT

The provision of appropriate support is essential if objectives are to be met.

Support includes professional development, provision of directed time and funding. Appraisers will need to be fully briefed by the headteacher before the planning meeting to ensure that objectives are set within the resources available. The use of shared objectives will make the whole process of identifying and providing support more straightforward, cost-effective and efficient.

Professional development

There will be two key aspects to the use of professional development activities in objective setting: one where the participation in the activity itself is the objective, the other where the activity will support the teacher in meeting an objective.

Professional development should be interpreted in its widest sense, not solely as the provision of training courses.

Activities such as team teaching, collaborative work, observing other colleagues' good classroom practice, discussions at departmental meetings or membership of working parties, constitute professional development.

Directed time

The directed time to be allocated to enable the activity to be carried out must be identified. Teachers cannot be required, and should not volunteer, to undertake any activity in their own time. As objectives have to be met within a defined timescale, teachers have a contractual entitlement to an allocation of directed time in which to complete the task.

The five non-pupil days (variously termed INSET, teacher days or Baker Days) provide an ideal source of time for activities related to objectives. For example, where objectives require a teacher to engage in developmental activities, allocating time during a teacher day removes the need for supply cover and avoids complications of trying to incorporate such activities into a calendar already agreed. Developmental activities include developing new materials or schemes of work in collaboration with colleagues, visits to other schools to observe good practice and whole-school, curriculum area or departmental training.

Funding

Integral to the provision of support is appropriate funding. Funding will be necessary for many of the activities that objectives may generate. This may include course fees, travel and subsistence for attendance at training courses, purchase of external specialist advice and/or supply cover to release teachers from their timetable commitments.

When adopting the performance management policy, the governing body should have identified, in consultation with the headteacher, a budget allocation to support the process.

Identifying sources of funding to support their objectives is not the teacher's responsibility.

Evaluating the outcome

Assessment of performance against the objectives will be on the basis of the performance criteria set at the beginning of the cycle and taking account of the PRD record.

Good progress towards the achievement of a challenging objective, even if the performance criteria have not been met in full, should be assessed favourably.

Strengths and achievements should be recognised and account taken of any factors outside the appraisee's control, including any difficulties in working conditions which have impacted upon the completion of objectives.

REVISING OBJECTIVES DURING THE APPRAISAL CYCLE

Once objectives have been set and the review cycle begins, circumstances may arise which may make it difficult for appraisees to meet their objectives. These may include failure by the school to provide the agreed support, ill health, pregnancy and maternity leave, or personal circumstances.

If, at any stage in the review cycle, a teacher anticipates difficulties in meeting an objective, contact should be made with the NASUWT as soon as possible. This will enable advice to be provided on the most appropriate way to resolve the problem, including whether an approach to the school management for revision of the objective(s) is appropriate.

It will be important to guard against the initiation of revisions during the review cycle by appraisers whose motivation may simply be to make objectives more onerous or extensive. If an appraiser suggests a revision to an objective, advice should be taken from the NASUWT on the proposal and the reason for it.

WORKLOAD

The provisions of the NASUWT National Action Instructions cover all aspects of performance management.

Workload should not increase as a result of performance management or meeting objectives if the NASUWT instructions and guidance are applied.

FAILURE TO MEET OBJECTIVES

If the advice in this guidance is followed, it is unlikely that any appraisee will fail to meet their objectives as they should not have agreed any they did not consider achievable. In addition, it should be remembered that it is not really a process of pass or fail, but working to meet the objectives. If at the appraisal review meeting an appraisee is deemed not to have met one or more of the objectives, then it would be unwise for new objectives for the next cycle to be agreed which are based on, or related to, those not met without taking advice from the NASUWT.

If the appraisee does not agree with the assessment that they have not met one or more of their objectives, then recourse to the appeals procedure specified in the Regulations is available.

Contact with the NASUWT should be made in these circumstances.



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Tel: 029 2054 6080
E-mail: rc-wales-cymru@mail.nasuwt.org.uk
Website: www.nasuwt.org.uk

Rheoli Perfformiad

Cyfarwyddyd ymarferol

Athrawon

Gwerthuswyr

Gwybodaeth Bwysig

Dylid darllen y cyfarwyddyd ymarferol hwn yng nghyd-destun y canlynol:

- Rheoliadau Gwerthuso Athrawon Ysgol (Cymru) 2011 (Rheoliadau) (Atodiadix 1);
- Dogfen Gyfarwyddyd Rheoli Perfformiad Llywodraeth Cymru rhifau 073/2012 a 074/2012 (www.cymru.gov.uk);
- Polisi Rheoli Perfformiad Enghreifftiol NASUWT (Atodiad 2);
- Canllawiau Llywodraeth Cymru ar Arsylwi yn yr Ystafell Ddosbarth (Atodiad 2, Anecs G).

Mae'r Canllaw yn cynnwys yr holl wybodaeth hanfodol am werthuso y mae ar athrawon ei hangen.

DS Dim ond ar gyfer aelodau NASUWT y mae'r cyfarwyddyd ymarferol hwn.

Ni ddylid ei gopïo na'i ddosbarthu i bobl nad ydynt yn aelodau.

**Bydd copi'n cael ei roi i athrawon sy'n ymuno â NASUWT.
Ymunwch ar-lein yn: www.nasuwt.org.uk**

**Gellir cael copïau ychwanegol o'r cyfarwyddyd hwn ar gyfer aelodau
drwy gysylltu â**

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Mae Adrannau 1, 2 a 3 yn berthnasol i'r holl athrawon y mae'r Rheoliadau'n berthnasol iddynt

Cefndir

Rheoli perfformiad (Gwerthuso), sy'n seiliedig ar Rheoliadau Gwerthuso Athrawon Ysgol (Cymru) 2011, yw'r broses a ddefnyddir i adolygu perfformiad pob athro a phennaeth yn flynyddol.

Mae rheoli perfformiad yn gylch blynyddol parhaus.

Rheoliadau Gwerthuso Athrawon Ysgol (Cymru) 2011

Er y cyfeirir at y system fel 'Rheoli Perfformiad', nid yw deddfwriaeth sylfaenol yn defnyddio'r derminoleg hon. Mae'n dynodi bod Gweinidogion Cymru yn meddu ar y grym i wneud rheoliadau ar gyfer gwerthuso athrawon. Oherwydd hyn, teitl y Rheoliadau diwygiedig sy'n ymdrin â rheoli perfformiad yw 'Rheoliadau Gwerthuso Athrawon Ysgol (Cymru) 2011'.

Cyfeirir at y rhain fel 'Rheoliadau' drwy'r cyfarwyddyd hwn. Ceir copi yn Atodiad 1.

Yn y canllaw ymarferol hwn gan Gymdeithas Genedlaethol yr Ysgolfeistri ac Undeb yr Athrawesau (NASUWT), cyfeirir at yr unigolyn y mae ei berfformiad yn cael ei adolygu fel y sawl sy'n cael ei werthuso. Gelwir yr unigolyn sy'n cynnal yr adolygiad yn werthuswr.

Mae Rheoliadau yn berthnasol i'r canlynol:

- athrawon mewn ysgolion cymunedol, ysgolion gwirfoddol a gynorthwyr, ysgolion sefydledig, ysgolion arbennig cymunedol ac ysgolion arbennig sefydledig;
- athrawon a gyflogir i weithio mewn mwy na dwy ysgol o'r fath ym mhob lleoliad cyflogi;
- athrawon cymwysedig ac athrawon nad ydynt yn gymwysedig;
- athrawon sy'n gweithio'n amser llawn neu ran-amser;
- athrawon a gyflogir yn ganolog gan awdurdod lleol, gan gynnwys athrawon mewn unedau cyfeirio disgyblion, meithrinfeydd, gwasanaethau cefnogi Awdurdodau Lleol, athrawon peripatetig, tiwtoriaid cartref ac eraill a gyflogir gan Awdurdod Lleol ond nad ydynt wedi'u neilltuo i ysgol unigol.

Nid yw Rheoliadau yn berthnasol i'r canlynol:

- athrawon sydd newydd gymhwyso ac sydd ar eu cyfnod sefydlu;
- athrawon sydd wedi'u cyflogi am gyfnod sy'n llai na thymor;
- ymarferwyr eraill heblaw athrawon.

Mae dyddiad cychwyn y cylch Gwerthuso yn ddyddiad pwysig y dylid ei gofnodi.

Rheoli perfformiad yw'r broses a ddefnyddir i adolygu perfformiad athrawon a phennaethiaid bob blwyddyn.

Mae'n rhaid i'r dyddiad y cychwynnodd y cylch gael ei gofnodi.

Mae'n gylch blynyddol parhaus.

Mae Rheoliadau yn nodi i bwy mae rheoli perfformiad yn berthnasol.

Mae Rheoliadau yn dynodi'r athrawon sydd wedi'u heithrio o'r broses.

Nid yw Rheoliadau yn darparu ar gyfer gwerthuso ymarferwyr heblaw athrawon.

Er mwyn cefnogi aelodau, mae NASUWT wedi cyhoeddi Polisi Rheoli Perfformiad Enghreifftiol.

Mae ganddo nifer o fanteision ac amddiffyniadau ar gyfer athrawon.

Mae'n cydymffurfio'n llawn â'r Rheoliadau, mae'n gyson â'r Cyfarwyddiadau Gweithredu Cenedlaethol a'r Canllawiau Atodol, ac mae'n bodloni darpariaethau rhestr wirio NASUWT yng nghyd-destun Canllaw Arsylwi yn y Dosbarth Llywodraeth Cymru.

Rhoddir cyfyngiadau ar: amcanion; arsylwi yn yr ystafell ddosbarth; biwrocratiaeth a baich gwaith.

Dylid cysylltu â NASUWT yn syth os nad yw'r Polisi a fabwysiadir gan yr ysgolion yn cydymffurfio â pholisi enghreifftiol yr NASUWT.

Dylid dilyn cyngor NASUWT, y Cyfarwyddiadau Gweithredu Cenedlaethol a'r Canllawiau Atodol yn ofalus.

Polisi Enghreifftiol NASUWT

Mae NASUWT wedi llunio Polisi Rheoli Perfformiad Enghreifftiol i'w ddefnyddio ym mhob ysgol. **Mae'r polisi enghreifftiol yn gwella Polisi Llywodraeth Cymru.** Mae'n gwbl gyson â'r Rheoliadau. Mae'n strategaeth bragmataidd a synhwyrol a fydd yn galluogi'r aelodau i ymdopi â gofynion y Rheoliadau.

Mae gan Bolisi Enghreifftiol NASUWT nifer o fanteision arwyddocaol iawn.

- Mae'n gadarn ac yn cydymffurfio'n llwyr â Rheoliadau, ond mae'n gweithio mewn ffordd syml sy'n sicrhau nad oes gormod o faich gwaith na biwrocratiaeth i athrawon a phenaethiaid. Mae mor syml ag y bo modd. Po fwyaf di-lol yw'r cynllun, y lleiaf bygythiol yw'r broses ym marn NASUWT.
- Mae'n cyfyngu'r amcanion i ddim mwy na thri ar gyfer pob athro a phennaeth, yn hytrach na chaniatáu'r niferoedd gormodol, di-ben-draw a diangen a gynigir mewn enghreifftiau eraill.
- Mae'n nodi na ddylai'r gwaith o arsylwi gwersi gael ei gynnal fwy nag unwaith bob tymor ac ni ddylai gymryd mwy nag awr, i gydnabod pryderon yr aelodau eu bod wedi wynebu gormod o arsylwi yn yr ystafell ddosbarth gan amrywiaeth o bobl. Nid yw cynlluniau/enghreifftiau eraill yn cyfyngu ar arsylwi yn yr ystafell ddosbarth.
- Mae'r ffurflenni safonol, gan gynnwys y cofnod Ymarfer, Adolygu a Datblygu, yn syml ac yn hawdd eu deall, ac maent yn cydymffurfio â Rheoliadau, gan leihau'r fiwrocratiaeth a'r baich gwaith.

Caiff Polisi Rheoli Perfformiad Enghreifftiol NASUWT ei gynnwys yn Atodiad 2. Mae Cynrychiolwyr NASUWT wedi cael copi, ynghyd â sylwebaeth sy'n darparu nodiadau cyfarwyddyd manwl a phwyntiau gweithredu. Gellir ei lwytho oddi ar wefan NASUWT hefyd: www.nasuwt.org.uk.

Y bwriad yw gweld Polisi Enghreifftiol NASUWT yn cael ei fabwysiadu gan bob corff llywodraethu heb ei ddiwygio. Bydd hyn yn arbed oriau o waith datblygu diangen i lywodraethwyr, penaethiaid ac athrawon. Os nad yw'ch corff llywodraethu chi wedi ei fabwysiadu, cysylltwch â NASUWT ar unwaith.

Nodyn o rybudd

Gall y broses Rheoli Perfformiad gael ei defnyddio er anfantais i'r sawl sy'n cael ei werthuso. Mae hyn wedi dod yn fwy difrifol yn sgil y newidiadau a wnaed i'r Ddogfen Cyflog ac Amodau Gwaith Athrawon Ysgol, sy'n cysylltu datblygiad cyflog ar bob lefel â'r Broses Rheoli Perfformiad.

Cynghorir yr aelodau i fabwysiadu'r dull gweithredu canlynol yn ystod pob cam o'r broses:

- dylech edrych ar eich hun mewn ffordd gadarnhaol;
- dylech osgoi beirniadu eich hun;
- cyfyngwch eich sylwadau i'ch dyletswyddau yn ôl yr hyn sy'n ofynnol gan y Ddogfen Cyflog ac Amodau Athrawon Ysgol gyfredol;
- dylid osgoi cyfeirio at weithgareddau gwirfoddol a gweithgareddau nad ydynt yn rhan o'ch contract;
- dylech roi enghreifftiau penodol o'r pethau rydych chi wedi llwyddo i'w gwneud yn dda;
- lle ceir diffygion yn eich amodau gwaith sy'n cael effaith anffafriol ar eich gallu i gyflawni eich dyletswyddau, dylid defnyddio'r broses rheoli perfformiad i'w dynodi;
- ni ddylech gytuno i gynnwys targedau rhifiadol fel rhan o'ch amcanion.

Dylid cysylltu â NASUWT os bydd problemau'n codi ynghylch unrhyw un o'r materion yn Adran 1.

Materion Allweddol

Nid yw rheoli perfformiad yn wirfoddol. Mae'n berthnasol i bob athro a phennaeth. Ceir felly gyngor sylfaenol penodol ar nifer o elfennau allweddol sy'n berthnasol i bawb.

Baich Gwaith a'r Cydbwysedd rhwng Bywyd a Gwaith

Er mwyn sicrhau nad yw rheoli perfformiad yn cael effaith anffafriol ar faich gwaith ac oriau gwaith athrawon, rhaid cynnal pob elfen o'r broses o fewn oriau cyfeiriedig, ond nid yw hyn yn wir i benaethiaid a'r rheini ar y golofn gyflog arwain nad yw oriau cyfeiriedig yn berthnasol iddynt. Fodd bynnag, byddai NASUWT yn disgwyl bod y trefniadau ar gyfer rheoli perfformiad y rheini ar y golofn gyflog arwain yn cyd-fynd â'r hawl gytundebol i gydbwysedd rhwng bywyd a gwaith.

O'r herwydd, wrth osod amcanion i athrawon ac i'r rheini ar ysgol y golofn gyflog arwain, rhaid rhoi ystyriaeth briodol i'r hyn y gellir ei ddisgwyl gan athrawon a phenaethiaid o ran gallu cael cydbwysedd boddhaol rhwng yr amser sy'n ofynnol i gyflawni dyletswyddau proffesiynol a'r amser sy'n ofynnol i ymgymryd â diddordebau personol y tu allan i'r gwaith.

Mae hyn yn golygu:

- dylai cyfarfodydd rheoli perfformiad gael eu cynnal pan mae pawb yn gallu rhoi o'u gorau. Mae hyn yn debygol o fod yn ystod sesiynau arferol gyda disgyblion, gydag athrawon llanw wedi'u darparu. Dylai cyfarfodydd a gynhelir y tu allan i amseroedd sesiynau â disgyblion gymryd lle cyfarfodydd eraill megis cyfarfodydd staff, cyfarfodydd cynllunio neu gyfarfodydd adrannol;
- os collir cyfnodau digyswllt o ganlyniad i arsylwi gwersi neu gyfarfodydd sy'n deillio o'r broses rheoli perfformiad, dylai'r amser cyswllt gael ei leihau drwy gyflogi athrawon llanw;
- ni ellir cyfarwyddo athrawon i ddefnyddio'u hamser cynllunio, paratoi ac asesu ar gyfer gweithgareddau rheoli perfformiad;
- dylai'r hyfforddiant sy'n ofynnol i gefnogi'r broses gymryd lle hyfforddiant ar gyfer dibenion eraill. Dylai'r hyfforddiant gael ei gynnal o fewn y sesiynau arferol gyda disgyblion. Os yw wedi'i drefnu y tu allan i'r amser hwn, dylai hyn gymryd lle sesiynau hyfforddi dydd presennol a drefnwyd ar gyfer athrawon;
- dylai'r amser a dreulir gan werthuswyr yn gweinyddu prosesau rheoli perfformiad gymryd lle gweithgareddau eraill.

Mae Cyfarwyddiadau Gweithredu Cenedlaethol NASUWT yn darparu gwarchodaeth ychwanegol yn erbyn mwy o faich gwaith a methiant i ddarparu cydbwysedd rhwng bywyd a gwaith.

Mae rheoli perfformiad yn orfodol.

Rhaid ymgymryd â phob elfen o'r broses, gan gynnwys datblygiad proffesiynol parhaus a'r gofyniad i gadw cofnod Ymarfer, Adolygu a Datblygu cyfredol, yn ystod oriau cyfeiriedig.

Rhaid rhoi ystyriaeth briodol i'r hawl gytundebol i gydbwysedd rhwng bywyd a gwaith (gweler Dogfennau Cyfarwyddyd Llywodraeth Cymru rhifau 073/2012 a 074/2012).

Yr amser gorau i gynnal cyfarfodydd yw yn ystod sesiynau arferol gyda disgyblion, gydag athro llanw wedi'i ddarparu.

Rhaid i'r broses rheoli perfformiad gael ei chynnal o fewn darpariaethau Cyfarwyddiadau Gweithredu Cenedlaethol NASUWT.

Pan fydd gofynion afresymol yn cael eu gwneud ar amser athrawon o ran rheoli perfformiad, dylid cysylltu â NASUWT.

Nid yw hunanddadansoddi na hunanwerthuso yn ofynnol o dan Reoliadau 2011. Fodd bynnag, mae'n ofynnol bod athrawon a phenaethiaid yn cadw cofnod Ymarfer, Adolygu a Datblygu cyfredol.

Mae'n ofynnol bod athrawon a phenaethiaid yn cadw cofnod Ymarfer, Adolygu a Datblygu cyfredol, a rhaid cyflwyno hwn o leiaf bum diwrnod ysgol cyn cyfarfod adolygu'r gwerthusiad.

Ni ddylai athrawon na phenaethiaid fod yn hunanfeirniadol yn y cofnod Ymarfer, Adolygu a Datblygu.

Mae'r cofnod Ymarfer, Adolygu a Datblygu yn gofnod personol sy'n cael ei gadw gan yr unigolyn.

Dylai amcanion gyd-fynd â disgrifiadau swydd.

Dylai disgrifiadau swydd gael eu cyfyngu i ddyletswyddau yn y Ddogfen Cyflog ac Amodau Athrawon Ysgol.

Dim ond drwy gytundeb y gellir newid disgrifiadau swydd.

Ni ddylid cyfeirio at weithgareddau gwirfoddol.

Hunanddadansoddi a hunanwerthuso

Mae Llywodraeth Cymru wedi rhoi llawer o bwyslais ar ymarfer myfyriol – y broses Ymarfer, Adolygu a Datblygu – ac mae wedi awgrymu y dylai athrawon ystyried defnyddio hunanddadansoddi a hunanwerthuso wrth baratoi at y cyfarfod cynllunio ac adolygu.

Mae NASUWT wedi dweud yn gyson bod prosesau o'r fath yn ddiangen a'u bod bob amser yn creu gwaith ychwanegol a biwrocratiaeth.

Y Cofnod Ymarfer, Adolygu a Datblygu

Mae gan hyn y potensial i ychwanegu at y baich gwaith ac i fod yn rhy fiwrocrataidd. Dylai fod yn gofnod byr a chryno sy'n ymdrin â gofynion Rheoliadau 2011 yn unig.

Rhaid cynnal y broses Ymarfer, Adolygu a Datblygu drwy gydol y cylch a chynnwys cofnod o asesiad perfformiad y gwerthusai yn erbyn yr amcanion, manylion y gweithgareddau datblygu proffesiynol yr ymgwymerwyd â nhw a sut mae hyn wedi cyfrannu at y gwaith o gyflawni amcanion, a manylion unrhyw ffactorau y teimla'r gwerthusai sy'n effeithio ar ei berfformiad yn erbyn yr amcanion.

Mae'n hanfodol bod y gwerthusai yn osgoi gwneud sylwadau hunanfeirniadol wrth Ymarfer, Adolygu a Datblygu.

Mae'r un mor hanfodol bod y gwerthusai'n cofnodi unrhyw broblemau o ran cael cymorth i gyflawni amcanion.

Cofnod personol y gwerthusai ydyw, a dim ond ar gyfer y cyfarfod adolygu y mae'n ofynnol iddo ddarparu copi. Nid yw'n ffurfio rhan o'r datganiad gwerthuso.

Mae templed ar gyfer y cofnod Ymarfer, Adolygu a Datblygu yn Atodiad 2, Anecs E.

Disgrifiadau swydd

Mae'n rhaid i amcanion gyd-fynd â disgrifiad swydd yr athro/pennaeth. Bydd angen i'r aelodau fod yn ofalus rhag i'r broses rheoli perfformiad ysgogi adolygiadau di-ben-draw, gyda'r bwriad o ychwanegu eitemau.

Mae'n bwysig cofio'r canlynol:

- mae disgrifiad swydd yn disgrifio'r hyn a ddisgwylir gan unigolyn a benodir i swydd benodol. Ni ddylai gynnwys gweithgareddau gwirfoddol a dim ond drwy broses ailstrwythuro neu gytundeb y gellir ei newid. Ni ddylai'r broses rheoli perfformiad gael ei defnyddio fel ffordd o chwilio am newidiadau i ddisgrifiadau swyddi;
- mae pob athro yn rhwym wrth y ddyletswyddau a osodir yn y Ddogfen Cyflog ac Amodau Athrawon Ysgol. Mae NASUWT yn ffafrio disgrifiadau swydd generig, sydd dim ond yn cyfeirio at y rhain. Fodd bynnag, nid yw'r Ddogfen Cyflog ac Amodau Athrawon Ysgol yn gwahaniaethu rhwng athrawon, ar wahân i'r rheini sydd ar y golofn gyflog arwain, ac felly nid yw'r holl ddyletswyddau a restrir yn briodol i bob athro. Felly, ni ddylid disgwyl ei bod yn rhaid i bob un ohonynt gael eu cynnwys yn y disgrifiad swydd.

Rheoli perfformiad gwan

Mae canllawiau Llywodraeth Cymru yn nodi'n glir nad yw'r broses rheoli perfformiad yn ffurfio rhan o unrhyw weithdrefnau disgyblu na diswyddo, a bod gweithdrefnau i fynd i'r afael â thanberfformio yn dod o dan reoliadau gwahanol.

Mae'n rhaid i aelod sy'n wynebu gweithdrefnau galluogrwydd o dan y rheoliadau gwahanol hyn geisio cyngor gan NASUWT.

Defnyddio datganiadau gwerthuso

Bydd datganiadau gwerthuso yn cael eu llunio ar ddiwedd y cylch blynyddol. Mae Rheoliadau yn rheoli'r modd y defnyddir ac yn dynodi pwy ddylai gael mynediad atynt. Gellir ystyried gwybodaeth berthnasol o'r datganiadau fel sail ar gyfer dyrchafu, diswyddo a datblygiad cyflog.

Dim ond y datganiad gwerthuso y dylid ei ddefnyddio fel tystiolaeth ar gyfer datblygiad cyflog.

Pan fydd y gwerthusai'n gymwys ar gyfer datblygiad cyflog, mae'n rhaid i'r gwerthuswr roi argymhelliad i'r pennaeth ynglŷn â datblygiad cyflog, gan ystyried y datganiad gwerthuso.

Mae egwyddorion a darpariaethau'r Ddeddf Diogelu Data yn berthnasol i'r dogfennau a lunnir fel rhan o'r broses rheoli perfformiad.

Cyfle cyfartal

Ceir tystiolaeth fod cynlluniau rheoli perfformiad/gwerthuso yn gallu arwain at ganlyniadau annheg a gwahaniaethol pan maent yn cael eu cynnal gan unigolion nad ydynt wedi cael hyfforddiant ym maes cyfle cyfartal.

Gallai disgwyliadau ystrydebol greu agwedd ragfarnllyd a chanlyniad sy'n arwain at wahaniaethu yn erbyn unigolion ar sail eu rhyw, eu hethnigrwydd, eu statws anabledd, eu hoedran, eu haelodaeth o undeb llafur, eu crefydd neu'u rhywioldeb.

Mae gan bob unigolyn sy'n gysylltiedig â'r gwaith o weithredu prosesau rheoli perfformiad gyfrifoldeb i sicrhau bod gwahaniaethu uniongyrchol ac anuniongyrchol yn cael ei osgoi.

Dylai pob ysgol gael polisi cyfle cyfartal ar gyfer ei staff, a dylid rheoli perfformiad yng nghyd-destun y polisi hwn.

Mae'n rhaid ystyried materion yn ymwneud â chyfle cyfartal yn ystod pob cam o'r broses, gan gynnwys wrth ddewis gwerthuswyr, wrth gynnal cyfarfodydd, wrth osod amcanion, wrth ddynodi anghenion datblygu proffesiynol, wrth fonitro ac wrth adolygu perfformiad.

Ni ddylai'r broses rheoli perfformiad gael ei defnyddio i reoli perfformiad gwan.

Bydd datganiadau adolygu yn cael eu llunio ar ddiwedd y cylch blynyddol.

Datganiadau gwerthuso yw'r dystiolaeth ar gyfer yr argymhelliad ar ddatblygiad cyflog.

Dylid cyfeirio enghreifftiau o gamddefnyddio datganiadau gwerthuso at NASUWT.

Dylai pob cam o'r broses rheoli perfformiad fod yn seiliedig ar ddarpariaethau Deddfwriaeth Cydraddoldeb a Chodau Ymarfer cysylltiedig.

Dylai pob ysgol gael polisi cyfle cyfartal ar gyfer staff, a dylai rheoli perfformiad fod yn weithredol oddi mewn iddo.

Athrawon (y rhai sy'n cael eu gwerthuso)

Mae'r adran hon yn darparu canllaw cam-wrth-gam i athrawon y mae eu perfformiad yn cael ei adolygu er mwyn eu cefnogi drwy'r broses o adolygu eu perfformiad. Dylid ei defnyddio yng nghyd-destun y cyngor a'r wybodaeth yn Adran 1 a 2 o'r cyfarwyddyd hwn.

Dynodi'r gwerthuswr

Y gwerthuswyr sy'n gyfrifol am gynnal adolygiad o berfformiad blynyddol y rheini sy'n cael eu gwerthuso. Y pennaeth sy'n eu dewis. Mae canllawiau Llywodraeth Cymru yn cynghori y dylai'r unigolyn a gaiff ei ddewis fod yn rhywun sy'n gwybod am waith y gwerthusai yn well na neb ac sy'n gallu cynnig cefnogaeth. Mae hwn yn debygol o fod yn rhywun â chyfrifoldeb rheolwr llinell.

Nid yw Rheoliadau yn cynnwys darpariaeth i'r rheini sy'n cael eu gwerthuso ddewis y gwerthuswr na gwrthwynebu'r un a ddewisir. Fodd bynnag, mae'n ymarfer rheoli da i'r pennaeth gysylltu â staff ynghylch y rheini sy'n debygol o gael eu dynodi'n werthuswyr.

Os oes gan y gwerthusai bryderon proffesiynol difrifol am y gwerthuswr, dylid dweud wrth y pennaeth am y pryderon hyn a gofyn i NASUWT am gyngor.

Cynllunio

Dylid cynnal cyfarfod rhwng y gwerthuswr a'r gwerthusai. Dim ond un cyfarfod cynllunio sydd ei angen ac nid oes angen i hwn fod yn hir nac yn fanwl.

Ei bwrpas yw dynodi a chytuno ar amcanion y gwerthusai, gan gynnwys unrhyw arsylwadau i'w cynnal mewn gwersi yn ystod y cylch rheoli perfformiad.

Dylai'r gwaith o arsylwi gwersi fod yn gymesur â'r angen, ac fel arfer ni ddylai gael ei gynnal fwy nag unwaith bob tymor. Ni ddylai'r arsylwi yn yr ystafell ddosbarth gymryd mwy nag awr. Ceir templed cofnod cynllunio yn Atodiad 2, Anecs B.

Gosod amcanion

Darperir cyngor manwl ynghylch gosod amcanion yn Atodiad 3 y cyfarwyddyd hwn. Rhaid i'r amcanion ganolbwyntio ar ddisgrifiad swydd yr athro ac ar gynllun gwella'r ysgol.

Nodir ym Mholisi Enghreifftiol NASUWT **na ddylid gosod mwy na thri amcan. Ni ddylid cytuno ar rai ychwanegol.** Yn ôl Rheoliadau, mae'n rhaid i'r rhain gynnwys amcanion sy'n ymwneud â chynnydd disgyblion, unrhyw feini prawf perthnasol ar gyfer datblygiad cyflog, a datblygu a gwella ymarfer proffesiynol y gwerthusai. Fodd bynnag, nid oes unrhyw reswm pam na ddylai'r amcanion gynnwys un amcan neu fwy sy'n berthnasol i'r ysgol gyfan ac sy'n cael eu rhannu gan bob athro, gan gynnwys y pennaeth. Efallai fod y rhain wedi'u nodi yng nghynllun gwella'r ysgol – neu, er enghraifft, hybu cyflawniad bechgyn neu wella

Mae gan bob athro werthuswr i adolygu ei berfformiad.

Caiff y pennaeth fod yn werthuswr ar gyfer pob athro neu gall enwi eraill i gynorthwyo.

Ni chaiff athrawon ddewis eu gwerthuswr.

Bydd y gwerthuswr a'r gwerthusai yn cyfarfod un waith er mwyn dynodi'r amcanion ar gyfer y cylch blynyddol.

Ni ddylid gosod mwy na thri amcan, ac mae'n rhaid i'r rhain fod yn berthnasol i gynnydd disgyblion, meini prawf perthnasol ar gyfer datblygiad cyflog a datblygu a gwella ymarfer.

Rhaid i'r amcanion fod yn glir ac yn gryno.

Ni ddylid cynnwys gweithgareddau gwirfoddol.

Rhaid ystyried anghenion gweithwyr rhan-amser ac athrawon ag anableddau.

Ni ddylid cynnwys targedau rhifiadol.

Rhaid i'r amserlenni ar gyfer cwblhau fod yn realistig.

Dylid dynodi anghenion ar gyfer datblygu a hyfforddi, adnoddau a chymorth.

Oni ellir dod i gytundeb, dylid gofyn i'r NASUWT am gyngor.

llythrennedd ar draws pob grŵp blwyddyn. Mae'n bwysig bod y gwerthusai'n cyfrannu'n frwd at y cyfarfod cynllunio, gan fynegi ei farn yn glir ac yn hyderus

Meini prawf ar gyfer amcanion

Dylai'r gwerthusai sicrhau bod ei amcanion:

- yn glir, yn gryno ac yn realistig, a bod modd eu cyflawni a'u mesur;
- yn cyfrannu at gynnydd disgyblion;
- yn ymwneud yn uniongyrchol â'i ddisgrifiad swydd;
- yn canolbwyntio ar faterion y mae ganddo ddylanwad/rheolaeth uniongyrchol drostynt;
- ddim yn cynnwys gweithgareddau gwirfoddol ac allgyrsiol fel clybiau mathemateg, adolygu a gwaith cartref, a/neu hyfforddiant mewn swydd ar y penwythnos ac adeg gwyliau;
- yn ystyried unrhyw anawsterau yn ei amgylchedd gwaith, fel disgyblion aflonyddgar, dosbarthiadau mawr, disgyblion ag anghenion arbennig mewn dosbarthiadau prif ffrwd, neu adnoddau annigonol;
- yn ystyried a yw'n gweithio'n rhan-amser neu a oes angen addasiadau rhesymol arno er mwyn cynorthwyo ag anabledd;
- ddim yn cynnwys targedau rhifiadol sy'n ymwneud â chanlyniadau disgyblion.

Amserlenni

Dylai'r amserlen ar gyfer cyflawni pob amcan fod yn realistig ac yn glir. Gyda'r rhan fwyaf o amcanion, mae'n debygol yr anelir at eu cwblhau yn ystod blwyddyn academaidd. Os cynigir amserlen fyrrach ar gyfer un amcan neu ragor, dylai'r gwerthusai ystyried a yw hyn yn rhesymol. Mae angen gwarchod rhag y disgwyliad y gellir gosod amcan ychwanegol neu ymestyn un yn ystod y cylch os oes gan amcan amserlen fyrrach a'i fod wedi cael ei gyflawni. Nid yw Rheoliadau yn darparu ar gyfer ychwanegu amcanion yn ystod y cylch.

DS Os caiff amcanion eu cyflawni cyn diwedd y cylch, ni ddylai athrawon gytuno i osod amcanion estynedig nac i osod rhai yn lle'r rhai a gyflawnwyd.

Cymorth

Pan fydd yr amcanion wedi'u dynodi, dylid trafod yr adnoddau a'r cymorth y bydd eu hangen er mwyn eu cyflawni a chytuno arnynt. Bydd cymorth yn cynnwys gwahanol ddarpariaethau, fel neilltuo oriau cyfeiriedig er mwyn ei gwneud yn bosib cyflawni tasgau a/neu ddarparu athrawon llanw er mwyn ei gwneud yn haws cymryd rhan mewn datblygu proffesiynol neu fynd ar gwrs hyfforddi. Ni ellir gofyn i'r rhai sy'n cael eu gwerthuso fynd ar gyrsiau hyfforddi yn eu hamser eu hunain er mwyn cyflawni amcan, ac ni ddylid cytuno i hynny.

Os oes pryderon am yr amcanion, ni ddylai'r gwerthusai gytuno iddynt a dylai gysylltu â'r NASUWT er mwyn cael cyngor.

Cofnodi canlyniad y cyfarfod cynllunio

Dylai'r cofnod cynllunio nodi'r amcanion, yr amserlenni a'r cymorth, a dylai'r gwerthuswr lunio fersiwn ddrafft. Dylid cwblhau'r cofnod cynllunio yn y cyfarfod. Fodd bynnag, mae'n rhesymol i'r gwerthusai ofyn am gael cadw'r cofnod am gyfnod byr er mwyn ei ddarllen a'i ystyried cyn cytuno arno'n derfynol.

Er nad yw hynny'n ofynnol o dan Reoliadau, dylid cofnodi'r holl anghenion hyfforddi a datblygu ar gofnod y cyfarfod cynllunio.

Bydd y cofnod cynllunio yn cynnwys datganiad amcanion ysgrifenedig ac mae'n gyfrinachol i'r gwerthusai a'r gwerthuswr.

O ganlyniad, dylai'r gwerthuswr roi cofnod ar wahân o'r anghenion hyfforddi a datblygu, ac unrhyw ofynion ychwanegol o ran adnoddau, i'r rheini sy'n gyfrifol am fynd i'r afael â'r materion hyn.

Dylai'r rhai sy'n cael eu gwerthuso gadw copi o'r cofnod cynllunio er gwybodaeth.

Ceir cofnod cynllunio templed yn Atodiad 2, Anecs B.

DS Gall y cyfarfod cynllunio lle gosodir yr amcanion gael ei gyfuno â'r cyfarfod i adolygu perfformiad ar ddiwedd y cylch gwerthuso blaenorol. Mae NASUWT yn argymhell bod y cyfarfodydd yn cael eu cyfuno gyda'r cyfarfod cynllunio yn dilyn y cyfarfod adolygu. Mae'r prosesau hyn, fodd bynnag, yn wahanol ac ar wahân.

Monitro Cynnydd

Arsylwi yn yr ystafell ddosbarth

Mae hon yn rhan sylfaenol o'r broses.

- Dewis gwersi i'w harsylwi**

Fel y nodir ym Mholisi Enghreifftiol NASUWT, dylai'r dewis o wersi i'w harsylwi fod yn gytbwys er mwyn adlewyrchu swyddogaethau a chyfrifoldebau'r unigolyn sy'n cael ei werthuso. Bydd angen i'r gwerthuswr sicrhau hyn. Er enghraifft, byddai'n annheg dewis yr holl ddosbarthiadau anodd y mae'r sawl sy'n cael ei werthuso'n eu dysgu, neu'n annheg i'r arsylwadau ganolbwyntio ar un grŵp blwyddyn yn unig. Mewn ysgolion cynradd, byddai'n afresymol canolbwyntio ar un maes cwricwlwm yn unig.

Os nad yw'r gwerthusai yn teimlo bod y gwersi a ddynodwyd yn ddewis cytbwys, dylai ofyn am gyngor gan yr NASUWT.

Mae'r cofnod cynllunio/datganiad amcanion yn gyfrinachol i'r gwerthusai ac i'r gwerthuswr.

Dylid rhoi cofnod o'r anghenion o ran hyfforddi ac adnoddau i'r unigolyn priodol.

Mae dogfennau'n gyfrinachol.

Dylai'r rhai sy'n cael eu gwerthuso gadw copi o'r holl ddogfennau a gynhyrchir.

Dylid llunio cofnod cynllunio sy'n rhoi manylion yr amcanion, y cymorth a'r gweithdrefnau ar gyfer monitro cynnydd.

O dan Reoliadau, mae'n rhaid arsylwi gwersi o leiaf un waith.

Dylid dynodi dewis cytbwys o wersi i'w harsylwi.

Ni ddylai'r gwaith o arsylwi gwers gael ei gynnal fwy nag unwaith bob tymor, ac ni ddylai gymryd mwy nag awr.

Dylai'r amser a dreulir yn arsylwi gwersi fod yn gymesur â'r angen.

Dylid cadw cofnod o hyd pob sesiwn arsylwi.

Ni ddylai llywodraethwyr arsylwi gwersi.

Nodir y dyddiadau ar gyfer arsylwi gwersi yn y cyfarfod cynllunio.

Nid oes angen dogfennau ychwanegol i gynorthwyo i arsylwi gwersi.

Dylai'r adborth fod yn ysgrifenedig.

- **Amser yn arsylwi mewn gwersi**

Dylai'r amser a dreulir yn arsylwi fod yn ddigonol er mwyn gallu gwneud penderfyniad teg, a dylai fod yn gymesur ag angen o ran yr amcanion a gaiff eu gosod, ac a yw'r gwerthusai yn gweithio'n rhan-amser, neu mewn swydd amser llawn.

Fel arfer, dylai un wers gael ei harsylwi bob tymor, ac ni ddylai gymryd mwy nag awr drwy gydol y cylch, ac eithrio pan fydd y gwerthusai a'r gwerthuswr yn cytuno bod arsylwi pellach yn angenrheidiol i gefnogi cyflawni unrhyw amcanion.

Pan fydd athrawon yn cael eu harsylwi yn yr ystafell ddosbarth, bydd angen iddynt gadw cofnod syml o'r dyddiad, yr amser a'r hyd er mwyn sicrhau nad ydynt yn cael eu harsylwi fwy nag unwaith y tymor, ac nad yw'r gwaith o arsylwi yn yr ystafell ddosbarth yn cymryd mwy nag awr.

- **Y sawl sy'n arsylwi**

Fel arfer, mae'n debygol mai'r gwerthuswr fydd yr unigolyn a fydd yn arsylwi. Fodd bynnag, efallai y bydd amgylchiadau pan fydd eraill yn gwneud hyn. Rhaid i bawb sy'n arsylwi feddu ar Statws Athro Cymwysedig. Er mwyn gwneud yn siŵr bod gan y sawl sy'n arsylwi Statws Athro Cymwysedig, gellir edrych ar gofrestr Cyngor y Gweithlu Addysg. Mae'r uchafswm o dair awr ar gyfer arsylwi gwersi yn cynnwys yr holl arsylwadau (gan gynnwys ffynonellau mewnol (penaethiaid adran, cydgysylltwyr cwricwlwm) ac allanol (fel cynghorwyr athrawon a'r Awdurdod Lleol)). Ni ddylai llywodraethwyr arsylwi gwersi.

Pan fydd person heblaw'r gwerthuswr yn arsylwi, mae'n rhaid i'r gwerthuswr gael cofnod o'r arsylwi.

- **Hysbysiad ynghylch arsylwi gwersi**

Dylid cofnodi dyddiad, amser, ffocws a hyd pob gwers a gaiff ei harsylwi yn y cofnod cynllunio.

- **Paratoi**

Nid oes rhaid i'r unigolion sy'n cael eu gwerthuso baratoi a darparu dogfennau ychwanegol i gynorthwyo'r broses arsylwi gwersi.

- **Adborth**

Dylid rhoi adborth mor fuan â phosib ar ôl arsylwi. Dylid nodi hyn ar y cofnod adborth ar ôl arsylwi yn yr ystafell ddosbarth (gweler Atodiad 2, Anecs D). Fodd bynnag, pan fydd gwerthusai'n gofyn am gyfarfod ar gyfer adrodd yn ôl, ni ddylid gwrthod hyn heb reswm da. Dylai'r gwerthusai gael copi o'r ffurflen adborth.

- **Cofnodi pryderon**

Cyn llofnodi'r ffurflen adborth, dylai'r rhai sy'n cael eu gwerthuso sicrhau eu bod yn fodlon bod y broses arsylwi wedi'i chynnal yn briodol ac wedi'i gwerthuso'n deg. Mae'n bwysig diogelu rhag derbyn unrhyw feirniadaeth nad yw'n ystyried annigonolrwydd y system neu amodau gwaith yr athro. Dylid cofnodi sylwadau'r gwerthusai ynghylch y materion hyn a materion eraill. Bydd yn anodd dilysu pryderon yn ddiweddarach os nad ydynt yn cael eu cofnodi gan y gwerthusai ar y pryd.

Casglu tystiolaeth arall

Mae Rheoliadau yn atal gwerthuswyr rhag casglu gwybodaeth ychwanegol (ar lafar neu'n ysgrifenedig), sy'n berthnasol i berfformiad y gwerthusai, gan bobl eraill **heb i'r gwerthusai roi caniatâd ymlaen llaw**. Dylai'r gwerthusai geisio cyngor gan yr NASUWT cyn rhoi caniatâd o'r fath.

Cael cymorth

Yn y cyfarfod cynllunio, dylid bod wedi cytuno ar gymorth priodol i gynorthwyo'r rheini sy'n cael eu gwerthuso i gyflawni eu hamcanion. Cyfrifoldeb rheolwyr yr ysgol yw sicrhau bod hwn yn cael ei ddarparu.

Fodd bynnag, oni dderbynnir y cymorth a addawyd, cynghorir y rhai sy'n cael eu gwerthuso, er eu budd eu hunain, i godi hyn cyn gynted ag y bo modd drwy nodyn ysgrifenedig at y gwerthuswr os yn bosib. Dylai'r gwerthusai gadw copi o'r nodyn a dylid cysylltu â'r NASUWT am gyngor.

Dylai'r rhai sy'n cael eu gwerthuso sicrhau bod unrhyw anawsterau o safbwynt amodau gweithio, a allai effeithio ar gyflawni amcanion, yn cael eu codi yn ystod y broses fonitro. Gallai anawsterau o'r fath gynnwys dosbarthiadau mawr, cyfran uchel o ddisgyblion ag anghenion arbennig mewn dosbarthiadau prif ffrwd, ac adnoddau annigonol.

Trafodaethau adolygu perfformiad anffurfiol

Nid yw trafodaethau adolygu perfformiad anffurfiol yn ystod y cylch yn ofynnol o dan Reoliadau, ac mae NASUWT o'r farn eu bod yn ddiangen ac y byddent yn ychwanegu at fiwrocratiaeth, at faich gwaith ac at gost y broses.

Fodd bynnag, mae cyfarwyddyd Llywodraeth Cymru yn cyfeirio at y fath drafodaethau ac mae Polisi Enghreifftiol NASUWT yn caniatáu i'r gwerthuswr a'r sawl sy'n cael ei werthuso ailedrych ar yr amser a dreulir yn arsylwi gwersi yn ystod y cylch er mwyn cefnogi'r gwaith o gyflawni unrhyw amcanion.

O ganlyniad, dylid cytuno ar drefniadau ar gyfer unrhyw drafodaethau adolygu perfformiad anffurfiol yn ystod y cylch yn y cyfarfod cynllunio, ac yn gyffredinol, dylai'r rhai sy'n cael eu gwerthuso sicrhau bod trafodaethau o'r fath yn cael eu cynnal yn ystod y cyfnodau arsylwi gwersi ac adborth.

Rhaid i'r gwerthusai a'r gwerthuswr gadw cofnod ysgrifenedig o'r trafodaethau.

Dylid rhoi cyfle i'r rhai sy'n cael eu gwerthuso gofnodi sylwadau a phryderon ar y ffurflen.

Ni ddylai gwerthuswr gael gwybodaeth gan unrhyw berson arall, boed hynny ar lafar neu ar bapur, yn ymwneud â pherfformiad y gwerthusai heb ganiatâd gan y gwerthusai ei hun ymlaen llaw.

Dim ond gyda chaniatâd ymlaen llaw gan y gwerthusai y gellir cael tystiolaeth arall.

Dylid darparu cymorth a hyfforddiant priodol yn ystod y cylch.

Os na fydd y cymorth y cytunwyd arno'n cael ei ddarparu, dylid cyfeirio hyn at y gwerthuswr a gofyn am gyngor.

Rhaid cytuno ar drefniadau ar gyfer unrhyw drafodaethau adolygu perfformiad anffurfiol yn y cyfarfod cynllunio.

Rhaid cadw cofnod ysgrifenedig o'r drafodaeth.

Adolygu Perfformiad

Cynhelir cyfarfod ar ddiwedd y cylch i adolygu cynnydd yn erbyn yr amcanion.

Gellir cyfuno'r cyfarfod hwn â'r cyfarfod cynllunio nesaf lle caiff amcanion eu gosod ar gyfer y cylch nesaf.

Dylid gwirio'r dogfennau i'w defnyddio yn yr adolygiad a chytuno arnynt.

Ar ddiwedd y cylch, bydd y gwerthusai a'r gwerthuswr yn cyfarfod er mwyn cynnal adolygiad gwerthuso o berfformiad y gwerthusai.

Yn ôl Rheoliadau, pwrpas adolygu'r gwerthusiad yw gweld i ba raddau mae'r gwerthusai wedi cyflawni ei amcanion o safbwynt Ymarfer, Adolygu a Datblygu, a dynodi unrhyw anghenion hyfforddi neu ddatblygu.

Er ei fod yn gyfarfod gwahanol ac ar wahân, dylai'r cyfarfod hwn i adolygu'r gwerthusiad gael ei gyfuno fel arfer â'r cyfarfod cynllunio, lle bydd yr amcanion ar gyfer y cylch nesaf yn cael eu gosod, oni bai y ceir anghytundeb ynghylch canlyniad adolygiad y cylch blaenorol. Os bydd hyn yn digwydd, dylid gofyn am gyngor gan yr NASUWT i drafod apêl.

Datblygiad cyflog

Pan fydd y gwerthusai yn gymwys ar gyfer datblygiad cyflog, mae'n rhaid i'r gwerthuswr roi argymhelliad i'r pennaeth ar gyfer datblygiad cyflog, yn seiliedig ar y datganiad gwerthuso.

Lle bo'n berthnasol, mae'n rhaid i'r gwerthuswr wneud argymhelliad ar ddatblygiad cyflog yn seiliedig ar y datganiad gwerthuso.

Dogfennau

Dylid sicrhau ar ddechrau cyfarfod adolygu'r gwerthusiad bod y gwerthusai a'r gwerthuswr yn gweithio o'r un dogfennau.

Bydd hyn yn cynnwys:

- y cofnod cynllunio;
- cofnod o anghenion hyfforddi a datblygu proffesiynol (os crëwyd un yn wreiddiol yn y cyfarfod cynllunio);
- taflenni adborth ar ôl arsylwi yn yr ystafell ddosbarth;
- cofnod Ymarfer, Adolygu a Datblygu;
- unrhyw dystiolaeth arall y cytunwyd arni a gasglwyd yn ystod y cylch gwerthuso, ar yr amod bod y gwerthusai wedi rhoi caniatâd ymlaen llaw.

Dylai'r rhai sy'n cael eu gwerthuso wneud yn siŵr:

- bod casgliadau'r arsylwadau yn yr ystafell ddosbarth yn ddilys ac yn gywir;
- bod y dystiolaeth ychwanegol a gasglwyd wedi dod gan y ffynonellau y cytunwyd arnynt cyn eu casglu;
- bod y wybodaeth yn gywir.

Gwerthuso'r canlyniad

Asesir y perfformiad yn erbyn yr amcanion ar sail y meini prawf perfformio sydd wedi'u gosod ar ddechrau'r cylch a chan roi ystyriaeth i'r cofnod Ymarfer, Adolygu a Datblygu.

Dylid asesu cynnydd da tuag at gyflawni amcan heriol mewn ffordd ffafriol, hyd yn oed os nad yw'r meini prawf perfformio wedi'u bodloni yn llawn.

Dylid cydnabod cryfderau a chyflawniadau a rhoi ystyriaeth i unrhyw ffactorau y tu allan i reolaeth y gwerthusai, gan gynnwys unrhyw anawsterau o ran amodau gwaith sydd wedi cael effaith ar gyflawni amcanion. Os cytunir ar y canlyniad, gellir gosod amcanion ar gyfer y cylch gwerthuso nesaf, a'u cofnodi, yn unol â'r cyngor a roddwyd yn flaenorol ar gyfer Cynllunio (gweler tudalen 13).

Os yw'r gwerthusai'n bryderus am ganlyniad yr adolygiad o'r gwerthusiad yng nghyswllt unrhyw un o'r amcanion, nid yw'n ddoeth iddo gytuno ar amcanion newydd ar gyfer y cylch nesaf a allai fod yn seiliedig arnynt neu'n berthnasol iddynt.

Cynghorir y rhai sy'n cael eu gwerthuso i gadw nodyn byr o'r hyn a ddywedir yn ystod y cyfarfod er eu gwybodaeth eu hunain.

Cofnodi'r canlyniad a'r broses apelio

Dylid cofnodi canlyniad yr ystyriaeth a roddwyd i bob amcan ar y datganiad am yr adolygiad gwerthuso.

Dylid cwblhau'r datganiad yn y cyfarfod os yw hynny'n bosib. Os nad yw hyn yn bosib, mae Rheoliadau yn mynnu ei fod yn cael ei lunio gan y gwerthuswr o fewn deg diwrnod ysgol.

Pan fydd yn derbyn y datganiad am yr adolygiad gwerthuso, dylai'r gwerthusai wneud yn siŵr ei fod yn gofnod cywir. Yn unol â Rheoliadau, rhaid nodi unrhyw bryderon arno o fewn deg diwrnod ysgol i'w dderbyn.

Os ceir pryderon, dylai'r rhai sy'n cael eu gwerthuso geisio cyngor gan yr NASUWT cyn rhoi sylwadau ysgrifenedig ar y datganiad am yr adolygiad gwerthuso, er mwyn pennu sut y gellir mynd i'r afael â'r pryderon hyn ac a fyddai troi at y broses apelïadau'n briodol.

Mae'n bwysig bod y broses hon yn cael ei chwblhau cyn i'r gwerthuswr wneud unrhyw argymhelliad ar ddatblygiad cyflog. O ganlyniad, dylid cymryd cyngor ar unwaith gan NASUWT gan mai dim ond deg diwrnod ysgol a ganiateir o ddyddiad derbyn y datganiad am yr adolygiad gwerthuso i ychwanegu sylwadau a/neu i gyflwyno apêl.

Dylid gwerthuso perfformiad, gan gydnabod cryfderau a chyflawniadau.

Dylid ystyried safbwyntiau'r gwerthusai yn llawn.

Os cytunir ar y canlyniad, gellir gosod amcanion ar gyfer y cylch nesaf.

Os ceir anghytundeb, ni ddylid gosod amcanion newydd am y tro, a dylid cysylltu â'r NASUWT.

Dylid drafftio datganiad am yr adolygiad gwerthuso sy'n cofnodi'r canlyniad a, lle bo'n briodol, argymhelliad ar ddatblygiad cyflog.

Dylai'r gwerthusai sicrhau ei fod yn gywir.

Gellir rhoi sylw i bryderon am ganlyniad yr adolygiad gwerthuso drwy'r weithdrefn apelio (gallai canlyniad yr apêl, yn ei dro, effeithio ar yr argymhelliad cyflog).

Dim ond os ceir cyngor gan NASUWT y dylid defnyddio'r drefn hon.

Bydd NASUWT yn rhoi cyngor a chefnogaeth ar gyfer y broses apelio.

Bydd y datganiad gwerthuso a, lle bo'n briodol, yr argymhelliad ar ddatblygiad cyflog yn cael eu rhoi i'r pennaeth a rhoddir copi i'r gwerthusai.

Dim ond yn unol â darpariaethau Rheoliadau y gellir ei ddefnyddio.

Dylid cysylltu â NASUWT os oes problemau'n codi.

Mynediad at y datganiad gwerthuso a chadw'r datganiad

Dylai'r rhai sy'n cael eu gwerthuso dderbyn copi o'r datganiad gwerthuso ar ôl y cyfarfod adolygu.

Ar ôl ei gwblhau, bydd y gwerthuswyr yn rhoi'r datganiad gwerthuso i'r pennaeth.

Ar gais, dylai'r pennaeth roi copi i'r unigolion a nodir yn Rheoliadau.

Rheolir y modd y defnyddir y datganiad am yr adolygiad gwerthuso gan Rheoliadau.

Rhaid cadw'r datganiad gwerthuso am chwe blynedd o leiaf.

Gwerthuswyr

Mae'r adran hon yn darparu cyngor a gwybodaeth benodol ar gyfer gwerthuswyr ar faterion allweddol a chmau gweithredu sy'n ofynnol yn ystod y broses gwerthuso.

Dylai'r cyngor i werthuswyr gael ei roi ar waith yng nghyd-destun Adrannau 1-3 y cyfarwyddyd hwn.

Penodi'r gwerthuswr

Mae gwerthuswyr yn gyfrifol am gynnal adolygiad gwerthuso blynyddol yr unigolion sy'n cael eu gwerthuso. Y pennaeth sy'n eu dewis. Dylai'r unigolyn a gaiff ei ddewis fod yn rhywun sydd â gwybodaeth gyffredinol am waith y gwerthusai ac sy'n gallu cynnig cefnogaeth. Mae'n arfer rheoli da i'r pennaeth ymgynghori â'r staff hynny sy'n cael eu hystyried ar gyfer y rôl honno cyn eu penodi.

Mae NASUWT yn credu mai'r bobl fwyaf priodol i ymgymryd â'r swydd hon yw'r rheini mewn swyddi sy'n cynnwys cyfrifoldebau rheoli llinell y ceir tâl ychwanegol amdanynt. Y rheini ar y golofn gyflog arwain, neu'r rheini sy'n derbyn taliadau am gyfrifoldebau dysgu ac addysgu, yw'r rhai sy'n debygol o fod yn werthuswyr. Mewn ysgolion bach, mae'n bosib mai'r pennaeth yw gwerthuswr y staff i gyd.

Rhaid ystyried y goblygiadau o ran baich gwaith y gwerthuswyr, a rhaid rhoi sylw iddynt.

Dylai aelodau sy'n poeni ynghylch ymgymryd â chyfrifoldebau gwerthuswr gysylltu â NASUWT i gael cymorth.

Ni waeth pwy sy'n arsylwi gwers yn ystod y cylch rheoli perfformiad, y gwerthuswr yw'r unig un sy'n gyfrifol am yr argymhelliad i'r pennaeth ar ddatblygiad cyflog i athrawon cymwys.

Cynllunio

Dylai'r gwerthuswr drefnu a chynnal cyfarfod gyda'r gwerthusai.

Mae'r dogfennau sy'n ofynnol ar gyfer y cyfarfod wedi'u nodi ym mharagraff 26 o Reoliadau (gweler Atodiad 1).

Gosod amcanion

Yn y cyfarfod, ni ddylid gosod mwy na thri amcan ar gyfer y cylch gwerthuso. Yn ôl Rheoliadau, mae'n rhaid i'r rhain gynnwys amcanion sy'n ymwneud â chynnydd disgyblion, unrhyw feini prawf ynghylch datblygiad cyflog, a datblygu a gwella arfer proffesiynol yr athro. Gallai un neu ragor o'r amcanion fod yn amcan ysgol gyfan a rennir ag athrawon eraill, fel y nodir yng nghynllun gwella'r ysgol. Ni ddylai amcanion sy'n ymwneud â chynnydd disgyblion gynnwys targedau rhifiadol sy'n ymwneud â chanlyniadau disgyblion. Dywedir wrth werthuswyr am ddarllen cyfarwyddyd NASUWT ar osod amcanion, sydd yn Atodiad 3 y cyfarwyddyd hwn.

Rhaid darllen y cyfarwyddyd hwn ar y cyd ag Adrannau 1-3.

Dylai penaethiaid ymgynghori â'r staff maent yn bwriadu eu nodi a'u penodi yn werthuswyr.

Dim ond y rheini sydd â chyfrifoldebau rheoli llinell y ceir tâl ychwanegol amdanynt y dylid eu dewis.

Ni ddylai baich gwaith gwerthuswyr gynyddu.

Rhaid i'r argymhellion ar ddatblygiad cyflog i athrawon cymwys gael eu gwneud gan y gwerthuswr yn unig.

Dylid trefnu'r cyfarfod cynllunio i osod amcanion a chytuno arnynt.

Dylid nodi'r dogfennau sydd i'w defnyddio.

Ni ddylid gosod mwy na thri amcan ar gyfer y cylch gwerthuso.

Ni ddylid cynnwys targedau rhifiadol sy'n ymwneud â chanlyniadau disgyblion yn yr amcanion.

Dylid sicrhau bod yr amcanion yn bodloni meini prawf NASUWT.

NODYN: Dylid ystyried safbwyntiau'r gwerthusai yn llawn a cheisio dod i gytundeb.

Dylid nodi anghenion hyfforddi a datblygu, adnoddau a chefnogaeth, a chytuno arnynt yn y cyfarfod cynllunio.

Dylid cofnodi'r amcanion, y gefnogaeth, yr amserlenni a'r gofynion hyfforddi a datblygu ar y cofnod cynllunio.

Noder: dylid rhoi cofnod o'r anghenion o ran hyfforddi ac adnoddau i'r unigolyn priodol.

Dylid caniatáu amser y tu allan i'r cyfarfod ar gyfer y gwerthusai, iddo ystyried cynnwys y cofnod cynllunio a'r atodiad.

Mae'r cofnod cynllunio/datganiad amcanion yn gyfrinachol i'r gwerthusai ac i'r gwerthuswr.

Meini prawf ar gyfer amcanion

Dylai'r gwerthuswr sicrhau bod yr amcanion:

- yn glir, yn gryno ac yn realistig, a bod modd eu cyflawni a'u mesur;
- yn cyfrannu at gynnydd disgyblion;
- yn ymwneud yn uniongyrchol â disgrifiad swydd y gwerthusai;
- yn canolbwyntio ar faterion y mae gan y gwerthusai ddylanwad/rheolaeth uniongyrchol drostynt;
- ddim yn cynnwys gweithgareddau gwirfoddol nac allgyrsiol fel clybiau mathemateg, adolygu a gwaith cartref, na HMS ar y penwythnos ac yn ystod y gwyliau;
- yn ystyried unrhyw anawsterau yn amgylchedd gwaith y gwerthusai, fel disgyblion aflonyddgar, dosbarthiadau mawr, disgyblion gydag anghenion arbennig mewn dosbarthiadau prif ffrwd, neu adnoddau annigonol;
- wedi'u teilwra i ystyried a yw'r gwerthusai yn gweithio'n rhan-amser neu a oes arno angen addasiadau rhesymol i gefnogi anabledde;
- ddim yn cynnwys targedau rhifiadol sy'n ymwneud â chanlyniadau disgyblion.

Cymorth

Ar ôl nodi'r amcanion, dylid cytuno ar y gefnogaeth a'r adnoddau, gan gynnwys oriau cyfeiriedig, athrawon llanw ac unrhyw anghenion hyfforddi a datblygu sy'n ofynnol er mwyn gallu cyflawni'r amcanion. Does dim gofyn i'r gwerthusai fynychu cyrsiau hyfforddi nac ymgymryd ag unrhyw weithgarwch arall yn ei amser ei hun er mwyn cyflawni amcanion (gan gynnwys unrhyw arsylwi).

Cofnodi canlyniad y cyfarfod cynllunio

Dylai'r wybodaeth ganlynol gael ei rhoi ar y cofnod cynllunio:

- amcanion;
- hyfforddi a datblygu;
- adnoddau i gefnogi'r amcanion;
- gweithdrefnau ar gyfer monitro cynnydd.

I gynnal cyfrinachedd y cofnod cynllunio, dylai'r gwerthuswr roi cofnod ar wahân o'r anghenion hyfforddi a datblygu ac unrhyw ofynion ychwanegol o ran adnoddau i'r rheini sy'n gyfrifol am roi sylw i'r materion hyn. Cyfrifoldeb y gwerthuswr yw llenwi'r cofnod cynllunio, yn ogystal â'r anghenion hyfforddi a datblygu. Ceir templed cofnod cynllunio yn Atodiad 2, Anecs B.

Byddai'n well ceisio gorffen hyn yn y cyfarfod, pan fydd y drafodaeth yn fyw ym meddwl pawb. Mae hyn hefyd yn lleihau baich gwaith y gwerthuswr.

Does dim angen defnyddio brawddegau llawn yn y cofnod cynllunio na'r cofnod hyfforddi a datblygu. Dim ond pwyntiau bwled clir, â ffocws cadarn iddynt, sydd eu hangen. Dylid trafod yr hyn a gaiff ei gofnodi yn llawn â'r gwerthusai.

Os bydd y gwerthusai yn gofyn am amser i ystyried y ddogfen y tu allan i'r cyfarfod, dylid cytuno i hyn, ond dylid gosod terfyn amser eglur ar gyfer ei ddychwelyd. Ar ôl cytuno, dylai'r gwerthuswr roi'r cofnod cynllunio i'r gwerthusai.

Os dilynir cyngor NASUWT, mae'n annhebygol y bydd anghytuno ynglŷn â'r amcanion. Fodd bynnag, pe bai hyn yn digwydd, dylid gwneud pob ymdrech i ddatrys y broblem. Os nad oes modd datrys y broblem, mae Rheoliadau yn dweud y bydd y gwerthuswr yn cofnodi'r amcanion sy'n briodol yn ei farn ef/hi, a chaiff y gwerthusai ychwanegu sylwadau ysgrifenedig. Dylai'r gwerthuswr roi gwybod i'r pennaeth os nad oes modd dod i gytundeb.

Os bydd anghytuno, dylid cofnodi'r amcanion priodol a rhoi gwybod i'r pennaeth.

Monitro Cynnydd

Arsylwi yn yr ystafell ddosbarth

Fel arfer, mae'n debyg mai'r gwerthuswr fydd yr unigolyn a fydd yn arsylwi gwersi.

Dewis gwersi i'w harsylwi

Fel y nodir ym model enghreifftiol yr NASUWT, dylid dewis amrywiaeth gytbwys o wersi i'w harsylwi er mwyn dangos ystod gwaith y gwerthusai.

Dylid sicrhau bod amrywiaeth gytbwys o wersi'n cael eu dewis i'w harsylwi.

Amser arsylwi

Dylai'r amser a dreulir yn arsylwi fod yn ddigonol er mwyn gallu gwneud penderfyniad teg, a dylai fod yn gymesur â'r angen o ran yr amcanion a osodir ac a yw'r gwerthusai yn gweithio'n rhan-amser, neu mewn swydd amser llawn. Mae NASUWT yn credu ei bod yn hanfodol sicrhau nad oes gormod o wersi'n cael eu harsylwi. Fel arfer, dim ond unwaith y tymor y dylid arsylwi gwers, ac ni ddylai gymryd mwy nag awr, un ai gan ffynonellau mewnol (fel penaethiaid adrannau, cydlynwyr cwricwlwm) neu gan ffynonellau allanol (fel cynghorwyr athrawon a'r Awdurdod Lleol). Pan fydd person heblaw'r gwerthuswr yn arsylwi, mae'n rhaid i'r gwerthuswr gael cofnod o'r arsylwi.

Dylid sicrhau mai dim ond un wers sy'n cael ei harsylwi bob tymor ac nad yw'n cymryd mwy nag awr i arsylwi.

Dylid sicrhau mai dim ond un wers sy'n cael ei harsylwi bob tymor ac nad yw'n cymryd mwy nag awr i arsylwi.

Mae angen i werthuswyr gadw cofnod cryno o ddyddiad, amser a hyd yr arsylwi, a phwy sy'n arsylwi, er mwyn sicrhau nad oes mwy nag un wers yn cael ei harsylwi bob tymor ac nad yw'n cymryd mwy nag awr.

Rhybudd arsylwi

Dylid cofnodi dyddiad, amser, ffocws a hyd bob gwers a gaiff ei harsylwi yn y cofnod cynllunio.

Cofnodi manylion ar ôl arsylwi gwersi

Rhaid i'r wybodaeth a geir wrth arsylwi gwersi gael ei chofnodi gan y sawl sy'n arsylwi ar y cofnod adborth arsylwi gwersi a rhaid rhoi copi i'r gwerthusai a'r gwerthuswr. Bydd angen i werthuswyr sicrhau bod hyn yn cael ei wneud.

Does dim modd i werthuswyr gasglu tystiolaeth ychwanegol heb gael caniatâd ymlaen llaw gan y gwerthusai.

Rhaid cytuno ar drefniadau ar gyfer unrhyw drafodaethau adolygu perfformiad anffurfiol yn y cyfarfod cynllunio.

Rhaid cadw cofnod ysgrifenedig o'r trafodaethau hyn.

Rhaid trefnu cyfarfod a fydd yn edrych ar yr adolygiad o'r amcanion cyn gosod rhai newydd ar gyfer y cylch nesaf.

Dylid rhoi adborth mor fuan â phosib ar ôl arsylwi. Dylid nodi hyn ar y cofnod adborth arsylwi gwersi Atodiad 2, Anecs D. Pan fydd y gwerthusai'n gofyn am gyfarfod adborth, ni ddylid gwrthod hyn heb reswm da.

Dylai gwerthuswyr sicrhau bod y gwerthusai'n cael cyfle i gofnodi sylwadau ar y ffurflen adborth. Penderfyniad y gwerthusai yw gwneud hyn ai peidio. Dylid rhoi copi o'r ffurflen adborth i'r gwerthusai (gweler Atodiad 2, Anecs D).

Casglu tystiolaeth arall

Caniatâd ymlaen llaw

Mae Rheoliadau yn atal gwerthuswyr rhag casglu gwybodaeth ychwanegol (ar lafar neu'n ysgrifenedig), sy'n berthnasol i berfformiad y gwerthusai, gan bobl eraill heb i'r gwerthusai roi caniatâd ymlaen llaw.

Dylid cytuno ar ffynonellau'r dystiolaeth, sef y ffurflenni adborth arsylwi gwersi a'r cofnod Ymarfer, Adolygu a Datblygu, a'u cofnodi yn y cyfarfod cynllunio.

Nid yw'n ofynnol casglu gwybodaeth ychwanegol os nad ydych chi'n credu bod angen gwneud hynny.

Pe defnyddir y ddarpariaeth hon, mae'n hanfodol bod y gwerthuswr yn sicrhau caniatâd y gwerthusai ymlaen llaw. Dylai gwerthuswyr fod yn glir ynglŷn â pham bod angen gwybodaeth ychwanegol arnynt a pha wybodaeth sydd ei hangen. Dylent hefyd egluro hyn wrth y gwerthusai wrth geisio ei ganiatâd.

Trafodaethau adolygu perfformiad anffurfiol

Does dim gofyniad yn Rheoliadau i gynnal, neu fwriadu cynnal cyfarfodydd interim ffurfiol nac anffurfiol i adolygu perfformiad yn ystod y cylch gwerthuso.

Fodd bynnag, mae cyfarwyddyd Llywodraeth Cymru yn cyfeirio at y fath drafodaethau ac mae Polisi Enghreifftiol NASUWT yn caniatáu i'r gwerthuswr a'r sawl sy'n cael ei werthuso ailedrych ar yr amser a dreulir yn arsylwi gwersi yn ystod y cylch er mwyn cefnogi'r gwaith o gyflawni unrhyw amcanion.

O ganlyniad, dylid cytuno ar drefniadau ar gyfer unrhyw drafodaethau adolygu perfformiad anffurfiol yn ystod y cylch yn y cyfarfod cynllunio, ac yn gyffredinol, dylai'r gwerthuswr sicrhau bod trafodaethau o'r fath yn cael eu cynnal yn ystod y cyfnodau arsylwi gwersi ac adborth.

Rhaid i'r gwerthuswr a'r gwerthusai gadw cofnod ysgrifenedig o'r trafodaethau.

Adolygu Perfformiad

Bydd cyfarfod yn cael ei gynnal ar ddiwedd y cylch gwerthuso, ac mewn amgylchiadau arferol, bydd yn cynnwys dwy ran wahanol:

- adolygu'r amcanion sydd wedi'u cofnodi;
- cynllunio a gosod amcanion ar gyfer y cylch gwerthuso nesaf.

Ceir datganiad gwerthuso a thempled atodiad yn Atodiad 2, Anecs F.

Ceir templed cofnod cynllunio yn Atodiad 2, Anecs B.

Dogfennau

Ar ddechrau'r cyfarfod, dylai'r gwerthuswr wneud yn siŵr bod gan y gwerthusai'r holl ddogfennau y bwriedir cyfeirio atynt.

Bydd hyn yn cynnwys:

- cofnod cynllunio;
- cofnod o'r anghenion hyfforddi a datblygu (os crëwyd un yn wreiddiol yn y cyfarfod cynllunio);
- ffurflenni adborth ar ôl arsylwi gwersi;
- cofnod adolygu a datblygu ymarfer;
- unrhyw dystiolaeth wedi'i chasglu yn ystod y cylch gwerthuso, os cafwyd caniatâd y gwerthusai ymlaen llaw.

Gwerthuso'r canlyniad

Dylai gwerthuswyr ddarparu asesiad eglur a chryno ynghylch a yw pob un o'r amcanion a gofnodir wedi'u cyflawni, neu a oes cynnydd da wedi'i wneud tuag at eu cyflawni.

Dylai canlyniad yr adolygiad ganolbwyntio ar wybodaeth sy'n ymwneud yn uniongyrchol â'r amcanion y cytunwyd arnynt. Mae'n amhriodol i faterion ychwanegol, fel ystyriaeth gyffredinol o gyfraniad y gwerthusai i fywyd yr ysgol, ddylanwadu ar ei gyflawniad o'r amcanion, oherwydd gallai hyn arwain at farn oddrychol, sy'n gwahaniaethu, o bosib, gan beri i'r gwerthuswr fod yn agored i gwyno a herio cyfreithiol posib.

Dylai gwerthuswyr asesu perfformiad yn erbyn y meini prawf perfformio sydd wedi'u gosod ar ddechrau'r cylch gwerthuso, ac ystyried cofnodion a wnaed wrth arsylwi gwersi a'r cofnod Ymarfer, Datblygu ac Adolygu, gan asesu'n ffafriol unrhyw gynnydd da tuag at gyflawni amcan heriol, hyd yn oed os nad yw'r amcanion wedi'u bodloni'n llawn.

Dylai gwerthuswyr sicrhau bod cryfderau a llwyddiannau'r gwerthusai'n cael eu cydnabod, a bod unrhyw ffactorau y tu hwnt i reolaeth y gwerthusai yn cael eu hystyried. Dylid trafod safbwyntiau'r gwerthusai, a'u hystyried yn llawn.

Datblygiad cyflog

Lle bo'n briodol, mae'n rhaid i werthuswyr wneud argymhelliad i'r pennaeth ar ddatblygiad cyflog. Eto, dylid trafod safbwyntiau'r gwerthusai, a'u hystyried yn llawn. Ceir templed NASUWT ar gyfer yr argymhelliad ar ddatblygiad cyflog yn Atodiad 2, Anecs H.

Os cytunir ar ganlyniad yr adolygiad a'r argymhelliad ar ddatblygiad cyflog, gellir gosod yr amcanion ar gyfer y cylch gwerthuso nesaf, a'u cofnodi, yn unol â'r cyngor a roddwyd yn flaenorol yn Adran 3, Cynllunio.

Dylid nodi'r dogfennau i'w defnyddio yn yr adolygiad, a chytuno arnynt.

Dylid gwerthuso pob amcan.

Dylid ystyried safbwyntiau'r gwerthuswr yn llawn.

Dylid ystyried gwybodaeth sy'n ymwneud yn uniongyrchol â'r amcanion yn unig.

Dylid asesu'n ffafriol unrhyw gynnydd da tuag at gyflawni amcan heriol.

Dylid cydnabod cryfderau a llwyddiannau.

Lle bo'n briodol, dylid gwneud argymhelliad i'r pennaeth ar ddatblygiad cyflog (gweler templed Atodiad 2, Anecs H).

Os oes modd dod i gytundeb, dylid gosod amcanion ar gyfer y cylch gwerthuso nesaf.

Os nad oes modd dod i gytundeb, dylid oedi rhag gosod amcanion newydd.

Dylid rhoi gwybod i'r pennaeth os bydd anghytuno.

Y pennaeth sy'n gyfrifol am gydymffurfio â'r Rheoliadau yng nghyd-destun mynediad.

Dylid cysylltu â'r NASUWT os bydd problemau'n codi ynghylch unrhyw un o'r materion yn Adran 4.

Fodd bynnag, os ceir anghytuno ynglŷn â chanlyniad yr adolygiad neu'r argymhelliad ar ddatblygiad cyflog, byddai'n annoeth pe bai'r gwerthuswr yn mynnu gosod yr amcanion ar gyfer y cylch gwerthuso nesaf, yn enwedig pe bai angen i'r rhain ddatblygu ar amcanion y cylch gwerthuso blaenorol, neu pe baent yn ymwneud yn uniongyrchol â hwy. Mae Rheoliadau yn dweud y dylai'r gwerthuswr gofnodi ei farn ynghylch canlyniad pob amcan ar y datganiad gwerthuso, os na ellir dod i gytundeb.

Dylai'r gwerthuswr roi gwybod i'r pennaeth os bydd anawsterau'n codi.

Cofnodi'r canlyniad a'r broses apelio

Dylid cofnodi asesiad y gwerthuswr o bob un o'r amcanion ar y datganiad gwerthuso.

Os nad oes modd llenwi'r datganiad yn y cyfarfod, mae Rheoliadau yn ei gwneud yn ofynnol i'r gwerthuswr ei greu cyn pen deg diwrnod ysgol ar ôl dyddiad y cyfarfod adolygu, a'i roi i'r gwerthusai. Bydd gan y gwerthusai ddeg diwrnod ysgol ar ôl ei dderbyn i ychwanegu sylwadau, ac os yn briodol yn ei farn ef, gallai gyflwyno apêl mewn amgylchiadau lle nad oedd modd dod i gytundeb. Felly, mae'n hanfodol bod cofnod cywir yn cael ei gadw o'r dyddiad y rhoddwyd y datganiad i'r gwerthusai.

Pan fydd apêl yn cael ei chyflwyno, dylai'r broses fod wedi'i chwblhau cyn i'r gwerthuswr roi'r argymhelliad ar ddatblygiad cyflog i'r pennaeth.

Proses apelio

Os caiff apêl ei chyflwyno, bydd y darpariaethau yn Rheoliadau yn cael eu rhoi ar waith (gweler Atodiad 1). Bydd hyn yn golygu y bydd swyddog apeliadau'n cael ei benodi i ystyried yr apêl.

Y pennaeth fydd y swyddog apeliadau, onid y pennaeth yw'r gwerthuswr. Yn yr amgylchiadau hyn, cadeirydd y llywodraethwyr fydd y swyddog apeliadau.

Ceir manylion swydd y gwerthuswr yn y weithdrefn apelio yn Rheoliadau.

Mynediad at y datganiad gwerthuso a chadw'r datganiad

Dylai'r gwerthuswr roi'r datganiad gwerthuso i'r pennaeth ar ôl y cyfarfod adolygu, a rhoi copi i'r gwerthusai. Ni ddylai gadw copi ei hun, er y gallai gael mynediad at y datganiad ar gais i'r pennaeth, pe bai angen.

Y pennaeth sy'n gyfrifol am gydymffurfio â Rheoliadau sy'n ymwneud â mynediad at ddatganiadau gwerthuso y gwerthusai, ac am y modd y caiff y datganiad hwnnw ei ddefnyddio.

Atodiad 1

OFFERYNNAU STATUDOL CYMRU

2011 Rhif 2940 (C. 316)

ADDYSG, CYMRU

Rheoliadau Gwerthuso Athrawon Ysgol (Cymru) 2011

<i>Gwnaed</i>	<i>6 Rhagfyr 2011</i>
<i>Gosodwyd gerbron Cynulliad Cenedlaethol Cymru</i>	<i>8 Rhagfyr 2011</i>
<i>Yn dod i rym</i>	<i>1 Ionawr 2012</i>

Mae Gweinidogion Cymru, drwy arfer y pwerau a roddwyd i'r Ysgrifennydd Gwladol gan adrannau 21(3) a 131 o Ddeddf Addysg 2002⁽¹⁾ ac sydd bellach wedi'u breinio ynddynt hwy, ac ar ôl ymgynghori yn unol ag adran 131(7) o Ddeddf Addysg 2002 ag unrhyw gymdeithasau awdurdodau lleol yng Nghymru, awdurdodau lleol yng Nghymru, cyrff sy'n cynrychioli buddiannau cyrff llywodraethu yng Nghymru a chyrff sy'n cynrychioli buddiannau athrawon yng Nghymru y mae'n ymddangos iddynt eu bod yn briodol, yn gwneud y Rheoliadau a ganlyn:

RHAN I – CYFFREDINOL

Enwi, cychwyn a chymhwyso

1. – (1) Enw'r Rheoliadau hyn yw Rheoliadau Gwerthuso Athrawon Ysgol (Cymru) 2011 a deuant i rym ar 1 Ionawr 2012.
(2) Mae'r Rheoliadau hyn yn gymwys o ran Cymru.

Diddymu, arbedion a darpariaethau trosiannol

2. – (1) Yn ddarostyngedig i baragraff (2), mae Rheoliadau Gwerthuso Athrawon Ysgol (Cymru) 2002⁽³⁾ (fel y'u diwygiwyd), Rheoliadau Gwerthuso Athrawon Ysgol (Diwygio) (Cymru) 2009⁽²⁾, Rheoliadau Gwerthuso Athrawon Ysgol (Cymru) (Diwygiad Rhif 2) 2009⁽⁴⁾ a Rheoliadau Llywodraethu Ysgolion (Cylch Gwaith) (Diwygio) (Cymru) 2002⁽⁵⁾ wedi'u diddymu.
(2) Mae'r arbedion a'r darpariaethau trosiannol yn rheoliadau 19, 33 a 46 ac yn yr Atodlen yn effeithiol.

Dehongli

3. – (1) Ac eithrio lle mae'r cyd-destun yn mynnu fel arall, yn y Rheoliadau hyn –
ystyr "athro neu athrawes ddigyswllt" ("*unattached teacher*") yw athro neu athrawes a gyflogir gan yr awdurdod ac sy'n cwympo o fewn un o'r categorïau a ganlyn;
(a) athro neu athrawes nad yw'n gysylltiedig ag ysgol benodol;
(b) athro neu athrawes a gyflogir i ddarparu addysg gynradd neu uwchradd heblaw mewn ysgol; neu
(c) athro neu athrawes a gyflogir mewn uned cyfeirio disgyblion (gan gynnwys athro neu athrawes sydd â gofal uned); ond nid yw'n cynnwys athro neu athrawes a gyflogir o dan gontract cyfnod byr;
ystyr "athro neu athrawes ysgol" ("*school teacher*") yw athro neu athrawes a gyflogir gan awdurdod lleol neu gan gorff llywodraethu ysgol sefydledig, ysgol wirfoddol a gynorthwyir neu ysgol arbennig sefydledig, ond nid yw'n cynnwys athro neu athrawes a gyflogir o dan gontract cyfnod byr;
ystyr "awdurdod" ("*authority*") mewn perthynas ag athro neu athrawes ddigyswllt yw'r awdurdod lleol sy'n cyflogi'r athro neu'r athrawes ac os yw ef neu hi yn gyflogedig gan fwy nag un awdurdod, yna pob awdurdod o'r fath;
mae i "Awdurdod Esgobaeth" yr ystyr a roddir i "*Diocesan Authority*" yn adran 142⁽⁶⁾ a (4) o Ddeddf Safonau a Fframwaith Ysgolion 1998⁽¹⁾;
ystyr "contract cyfnod byr" ("*short term contract*") yw contract cyflogaeth am gyfnod penodol o lai nag un tymor ysgol;
ystyr "corff llywodraethu" ("*governing body*") mewn perthynas ag ysgol yw corff llywodraethu'r ysgol, ac ystyr "llywodraethwr" ("*governor*") yw aelod o'r corff llywodraethu hwnnw;
ystyr "Cynllun Gwella'r Ysgol" ("*School Improvement Plan*") yw'r cynllun strategol sy'n nodi'r amcanion ar gyfer gwella darpariaeth a pherfformiad yr ysgol;
ystyr "datganiad amcanion" ("*statement of objectives*") yw'r datganiad ysgrifenedig o amcanion a gofnodir o dan reoliad 12⁽⁵⁾, rheoliad 26⁽⁵⁾ neu reoliad 39⁽⁵⁾, yn ôl fel y digwydd;
mae i "datganiad gwerthuso" ("*appraisal statement*") yr ystyr a roddir iddo gan, yn ôl fel y digwydd, rheoliad 15⁽⁴⁾, rheoliad 29⁽⁴⁾ neu reoliad 42⁽⁴⁾;

(1) 2002 p.32; a roddwyd i Gynulliad Cenedlaethol Cymru yn Neddf Addysg 2002 ac a drosglwyddwyd i Weinidogion Cymru gan baragraff 30 o Atodlen 11 i Ddeddf Llywodraeth Cymru 2006 (p.32).

(2) O.S. 2002/1394 (Cy.137). Cafodd Rheoliadau Gwerthuso Athrawon Ysgol (Cymru) 2002 eu diwygio gan Reoliadau Staffio Ysgolion a Gynhelir (Diwygiadau Amrywiol) (Cymru) 2007 (O.S. 2007/944) (Cy.80), Rheoliadau Gwerthuso Athrawon Ysgol (Diwygio) (Cymru) 2009 (O.S. 2009/2159) (Cy. 183), Rheoliadau Gwerthuso Athrawon Ysgol (Cymru) (Diwygiad Rhif 2) 2009 (O.S. 2009/2864) (Cy.251) a Gorchymyn Awdurdodau Addysg Lleol ac Awdurdodau Gwasanaethau Plant (Integreiddio Swyddogaethau) (Is-ddeddfwriaeth) (Cymru) 2010 (O.S. 2010/1142) (Cy. 101).

(3) O.S. 2009/2159 (Cy. 183).

(4) O.S. 2009/2864 (Cy. 251).

(5) O.S. 2002/1396 (Cy. 138).

(6) 1998 c.31.

ystyr "diwrnod ysgol" ("school day") yw diwrnod pan fydd yr ysgol yn cyfarfod;

ystyr "y dyddiad perthnasol" ("the relevant date") yw 1 Medi 2012;

ystyr "y Ddogfen" ("the Document") yw'r ddogfen y cyfeirir ati mewn unrhyw orchymyn sydd mewn grym am y tro o dan adran 122 o Ddeddf Addysg 2002;

ystyr "Gwybodaeth am Berfformiad Disgyblion" ("Pupil Performance Information") yw gwybodaeth am berfformiad disgyblion mewn ysgolion yng Nghymru fel y'i pennir gan Weinidogion Cymru o dro i dro;

ystyr "Gwybodaeth am Berfformiad Ysgolion" ("School Performance Information") yw gwybodaeth am berfformiad ysgolion yng Nghymru fel y'i pennir gan Weinidogion Cymru o dro i dro mae "pennaeth" ("head teacher") yn cynnwys pennaeth dros dro;

ystyr "Polisi Rheoli Perfformiad yr Ysgol" ("School Performance Management Policy") yw'r polisi ysgrifenedig sy'n nodi sut y bydd polisi gwerthuso staff yn yr ysgol yn cael ei roi ar waith;

ystyr "Prif Swyddog Addysg" ("Chief Education Officer") yw prif swyddog addysg yr awdurdod lleol (neu, yn achos athro neu athrawes ddigyswllt, prif swyddog addysg yr awdurdod);

ystyr "Rheoliadau 2002" ("the 2002 Regulations") yw Rheoliadau Gwerthuso Athrawon Ysgol (Cymru) 2002;

mae "tymor ysgol" ("school term") yn cynnwys (a) cyfnod o amser sydd heb fod yn fwy nag wythnos yn fyrrach na thymor ysgol llawn a (b) dau hanner tymor olynol;

ystyr "ysgol" ("school") yw ysgol gymunedol, ysgol wirfoddol, ysgol sefydledig, ysgol arbennig gymunedol neu ysgol arbennig sefydledig neu ysgol feithrin a gynhelir;

ac ystyr "ysgol sydd â chymeriad crefyddol" ("school which has a religious character") yw ysgol sefydledig neu ysgol wirfoddol sydd wedi'i dynodi fel ysgol â chymeriad o'r fath o dan adran 69(3) o Ddeddf Safonau a Fframwaith Ysgolion 1998.

(2) Mae unrhyw gyfeiriad yn y Rheoliadau hyn –

(a) at reoliad â rhif yn gyfeiriad at y rheoliad sy'n dwyn y rhif hwnnw yn y Rheoliadau hyn;

(b) at baragraff â rhif yn gyfeiriad at y paragraff sy'n dwyn y rhif hwnnw yn y rheoliad y mae'r cyfeiriad yn ymddangos ynddo; ac

(c) at yr Atodlen yn gyfeiriad at yr Atodlen i'r Rheoliadau hyn.

Y ddyletswydd i werthuso

4. – (1) Mae'n ddyletswydd ar gorff llywodraethu a phennaeth ysgol i arfer eu swyddogaethau o dan y Rheoliadau hyn gyda golwg ar sicrhau bod perfformiad athrawon ysgol a phenaethiaid wrth gyflawni eu dyletswyddau yn yr ysgol yn cael ei werthuso'n rheolaidd yn unol â'r Rheoliadau hyn.
- (2) Yn achos athro neu athrawes ysgol neu bennaeth a gyflogir mewn dwy neu fwy o ysgolion, rhaid i'w perfformiad ym mhob ysgol gael ei werthuso ac felly mae "ysgol" ym mharagraff (1) i gael ei ddarllen fel cyfeiriad at bob ysgol.
- (3) Pan fo'r awdurdod wedi dirprwyo i athro neu athrawes ysgol rai neu'r cyfan o'r dyletswyddau a osodir ar werthuswr fel y'i caniateir gan reoliad 36(2), dyletswydd corff llywodraethu a phennaeth yr ysgol yw arfer eu swyddogaethau o dan y Rheoliadau hyn gyda golwg ar sicrhau bod perfformiad yr athro neu'r athrawes ddigyswllt wrth gyflawni eu dyletswyddau yn yr ysgol honno ac mewn ysgolion eraill yn cael ei werthuso'n rheolaidd yn unol â'r Rheoliadau hyn.
- (4) Dyletswydd yr awdurdod yw arfer ei swyddogaethau o dan y Rheoliadau hyn gyda golwg ar sicrhau bod perfformiad athrawon digyswllt wrth gyflawni eu dyletswyddau tuag at yr awdurdod yn cael ei werthuso'n rheolaidd yn unol â'r Rheoliadau hyn.

Polisi Rheoli Perfformiad yr Ysgol

5. – (1) Cyn i'r cylch gwerthuso ddechrau rhaid i'r corff llywodraethu, yr awdurdod lleol a'r pennaeth sefydlu a chynnal Polisi Rheoli Perfformiad i'r Ysgol.
- (2) Rhaid i'r corff llywodraethu, yr awdurdod lleol a'r pennaeth adolygu Polisi Rheoli Perfformiad yr Ysgol, ac os penderfynant wneud hynny, ei ddiwygio, a hynny'n flynyddol o leiaf.
- (3) Caiff y corff llywodraethu a'r awdurdod lleol ddirprwyo'r gwaith o ffurfio drafft o Bolisi Rheoli Perfformiad yr Ysgol, neu ddrafft o ddiwygiadau iddo, i bennaeth yr ysgol, er mwyn iddynt gael eu hystyried.
- (4) Os na ellir cytuno rhaid i'r awdurdod lleol bennu Polisi Rheoli Perfformiad yr Ysgol.
- (5) Cyn sefydlu neu ddiwygio Polisi Rheoli Perfformiad yr Ysgol, rhaid i'r corff llywodraethu (neu, os y cyfarwyddir ef gan y corff llywodraethu, y pennaeth) ymgynghori ag athrawon yr ysgol yn yr ysgol yngly'n â chynnwys Polisi Rheoli Perfformiad yr Ysgol, neu'r newidiadau a gynigir iddo.
- (6) Rhaid i'r corff llywodraethu a'r pennaeth roi Polisi Rheoli Perfformiad yr Ysgol ar waith.
- (7) O leiaf unwaith yn ystod pob blwyddyn ysgol rhaid i'r pennaeth gyflwyno adroddiad ysgrifenedig i'r corff llywodraethu ynghylch sut mae Polisi Rheoli Perfformiad yr Ysgol yn gweithredu o dan y Rheoliadau hyn, pa mor effeithiol yw gweithdrefnau gwerthuso'r ysgol, ac anghenion athrawon yr ysgol a'r pennaeth o ran hyfforddi a datblygu.
- (8) Rhaid i'r corff llywodraethu sicrhau bod copi o Bolisi Rheoli Perfformiad yr Ysgol ar gael i'w archwilio yn yr ysgol ar ddiwrnodau ysgol.

RHAN II – GWERTHUSO PENAEITHIAID

Cymhwysio Rhan II

6. Mae rheoliadau 7 i 19 yn gymwys i werthuso penaeithiaid yn unig.

Penodi gwerthuswyr

7. – (1) Rhaid i gorff llywodraethu ysgol benodi yn werthuswyr pennaeth o leiaf ddau lywodraethwr, y mae'n rhaid i un ohonynt o leiaf fod yn llywodraethwr sefydledig i'r ysgol os yw'n ysgol sydd â chymeriad crefyddol neu'n ysgol wirfoddol a gynorthwyr sydd heb gymeriad crefyddol.
- (2) Caiff y corff llywodraethu ar unrhyw adeg benodi gwerthuswr newydd yn lle unrhyw werthuswr presennol a benodwyd o dan baragraff (1).
- (3) Ni chaniateir penodi llywodraethwr sy'n athro neu'n athrawes neu'n aelod arall o'r staff yn yr ysgol yn werthuswr i'r pennaeth.
- (4) Caiff yr awdurdod lleol benodi un neu ddau o werthuswyr mewn perthynas â gwerthuso pennaeth.
- (5) Caiff y corff llywodraethu wneud cais ar unrhyw adeg i'r awdurdod lleol am benodi gwerthuswr newydd yn lle gwerthuswr presennol a benodwyd gan yr awdurdod lleol ond rhaid i benodiad o'r fath fod yn ôl disgrisiwn yr awdurdod lleol a rhaid cael esboniad ysgrifenedig ar y rhesymau dros wrthodiad i gyd-fynd ag unrhyw wrthodiad.
- (6) Os pennaeth ysgol sydd â chymeriad crefyddol sy'n cael ei werthuso, caiff yr Awdurdod Esgobaeth benodi gwerthuswr i'r pennaeth.

Y cylch gwerthuso

8. – (1) Yn ddarostyngedig i'r darpariaethau canlynol yn y rheoliad hwn, ac i reoliad 9, rhaid i'r corff llywodraethu benderfynu amseriad cylch gwerthuso pennaeth yr ysgol.
- (2) Ac eithrio fel y darperir ar ei gyfer ym mharagraff
- (3) a rheoliad 9(3) blwyddyn fydd hyd cylch gwerthuso a bydd hwnnw'n dechrau ar ôl 1 Medi a chyn 31 Rhagfyr oni bai bod yr awdurdod lleol a'r corff llywodraethu'n cytuno fel arall.
- (3) Yn achos cylch gwerthuso cyntaf pennaeth o dan y Rheoliadau hyn sydd yn ei swydd ar y dyddiad y daw'r Rheoliadau hyn i rym, caiff y corff llywodraethu benderfynu y bydd hyd y cylch gwerthuso hwnnw'n gyfnod heblaw blwyddyn ar yr amod nad yw'n dechrau yn gynharach na 1 Ionawr 2012 nac yn diwedd yn hwyrach na 31 Rhagfyr 2012.
- (4) Pan fyddant wedi dechrau, bydd cylchoedd gwerthuso pob pennaeth yn barhaus.
- (5) Ni fydd penodi gwerthuswr newydd yn peri bod cylch gwerthuso pennaeth yn dechrau eto.

Cylch gwerthuso newydd

9. – (1) Os bydd pennaeth yn symud i swydd pennaeth mewn ysgol arall, bydd y cylch gwerthuso yn dechrau eto.
- (2) Pan ddaw athro neu athrawes ysgol (nad yw'n bennaeth) yn bennaeth (yn yr un ysgol ynteu mewn un arall) fel bod rheoliadau 7 i 19 yn gymwys i'r gwerthusiad, bydd amseriad y cylch gwerthuso yn cael ei benderfynu o'r newydd cyn gynted ag y bo'n ymarferol gan y corff llywodraethu o dan reoliad 8(1). Pan fydd cylch gwerthuso pennaeth yn dechrau eto o dan baragraff (1), neu'n cael ei benderfynu o'r newydd o dan baragraff (2), caiff y corff llywodraethu benderfynu y bydd hyd cylch gwerthuso cyntaf y pennaeth yn ei swydd newydd yn gyfnod o lai na blwyddyn.

Y cylch gwerthuso cyntaf

10. Rhaid i'r corff llywodraethu gymryd pob cam rhesymol i sicrhau nad yw cylch gwerthuso cyntaf pennaeth yr ysgol sydd yn ei swydd ar y dyddiad y daw'r Rheoliadau hyn i rym yn dechrau'n hwyrach na 31 Rhagfyr 2012.

Polisi Rheoli Perfformiad yr Ysgol

11. Rhaid i werthusiad y pennaeth fod yn unol â darpariaethau Polisi Rheoli Perfformiad yr Ysgol.

Cynllunio gwerthusiad a phennu amcanion

12. – (1) Cyn y cylch gwerthuso neu ar ddechrau'r cylch gwerthuso, rhaid i'r holl werthuswyr a'r pennaeth gyfarfod er mwyn cynllunio'r gwerthusiad a pharatoi ar ei gyfer a cheisio cytuno ar amcanion y pennaeth y mae'n rhaid iddynt gymryd i ystyriaeth unrhyw dystiolaeth berthnasol y bydd y gwerthuswyr a'r pennaeth yn cytuno arni (neu os na cheir cytundeb, unrhyw dystiolaeth berthnasol y penderfynir arni gan y gwerthuswyr) ond a fydd yn cynnwys yr Wybodaeth am Berfformiad Ysgolion, ac y mae'n rhaid iddynt ymwneud â'r canlynol –
- (a) arwain yr ysgol a'i rheoli;
- (b) disgrifiad swydd y pennaeth;
- (c) unrhyw feini prawf berthnasol ynghylch datblygiad cyflog;
- (ch) unrhyw amcanion berthnasol i'r ysgol gyfan neu i'r tim a bennwyd yng Nghynllun Gwella'r Ysgol;
- (d) safonau proffesiynol penaeithiaid fel y'u pennir gan Weinidogion Cymru o dro i dro; ac (dd) unrhyw flaenoriaethau cenedlaethol ar gyfer gwella ysgolion a bennir gan Weinidogion Cymru o dro i dro.
- (2) Caniateir i amcanion y pennaeth a ddisgrifir ym mharagraff (1) gymryd i ystyriaeth hefyd ddyheadau proffesiynol y pennaeth.
- (3) Bydd amcanion y pennaeth yn gyfryw ag i gyfrannu, o'u cyflawni, at wella cynnydd disgyblion yr ysgol.
- (4) Os na chytunir ar amcanion o dan baragraff (1), rhaid i'r gwerthuswyr nodi'n ysgrifenedig yr amcanion hynny y maent yn credu eu bod yn briodol, a chaiff y pennaeth ychwanegu sylwadau ysgrifenedig.

(5) Rhaid i'r amcanion y cytunir arnynt o dan baragraff (1), neu os nad oes amcanion wedi'u cytuno, yr amcanion sydd wedi'u nodi'n ysgrifenedig o dan baragraff (4), a sylwadau ysgrifenedig y pennaeth, gael eu cofnodi mewn datganiad amcanion ysgrifenedig.

(6) Pan fo'r amcanion wedi'u pennu, rhaid i'r gwerthuswyr a'r pennaeth geisio cytuno ar y cymorth y mae ar y pennaeth ei angen er mwyn bodloni'r amcanion. Os na ellir cytuno, yr awdurdod lleol fydd yn penderfynu ar y cymorth y mae ei angen.

(7) Yn ystod y cylch gwerthuso, rhaid i'r pennaeth gadw cofnod cyfoes o'r canlynol –

- (a) asesiad y pennaeth ei hun o berfformiad yn erbyn yr amcanion a gofnodwyd yn y datganiad amcanion;
- (b) manylion unrhyw weithgareddau datblygu proffesiynol yr ymgwymerwyd â hwy neu gymorth arall a roddwyd a sut mae hynny'n cyfrannu at gyflawni'r amcanion; ac
- (c) manylion unrhyw ffactorau y mae'r pennaeth yn credu eu bod yn effeithio ar y perfformiad yn erbyn yr amcanion a gofnodwyd.

(8) Caiff Arolygiaeth Ei Mawrhydi dros Addysg a Hyfforddiant yng Nghymru⁽⁷⁾ wneud cais am gopi o ddatganiad amcanion y pennaeth, ac ar ôl cael cais o'r fath rhaid i gadeirydd y corff llywodraethu roi copi o'r datganiad i'r Arolygiaeth.

Diwygio amcanion

13. – (1) Caniateir i amcanion pennaeth gael eu diwygio gan y gwerthuswyr unrhyw bryd yn ystod y cylch gwerthuso.

(2) Os yw amcanion pennaeth yn cael eu diwygio o dan baragraff (1)—

- (a) rhaid newid y datganiad amcanion i ddangos yr amcan diwygiedig, dyddiad y diwygiad a'r rheswm dros y diwygiad;
- (b) caiff cyfeiriadau yn y Rheoliadau hyn at amcanion y pennaeth eu darllen fel cyfeiriadau at yr amcanion diwygiedig; ac
- (c) caiff cyfeiriadau yn y Rheoliadau hyn at ddatganiad amcanion y pennaeth eu darllen fel cyfeiriadau at y datganiad amcanion diwygiedig.

Monitro cynnydd

14. – (1) ARhaid i'r holl werthuswyr a'r pennaeth mewn cyfarfod a gynhelir o dan reoliad 12(1) geisio cytuno ar y gweithdrefnau ar gyfer monitro perfformiad y pennaeth yn erbyn yr amcanion y cytunir arnynt o dan reoliad 12(1) neu os nad oes amcanion wedi'u cytuno, yr amcanion sydd wedi'u nodi'n ysgrifenedig o dan reoliad 12(4).

(2) Rhaid i'r gwerthuswyr nodi'n ysgrifenedig unrhyw weithdrefnau ar gyfer monitro perfformiad y pennaeth y maent yn credu eu bod yn briodol.

(3) Yn ddarostyngedig i baragraff (4), ni chaniateir i werthuswr gael gwybodaeth, yn ysgrifenedig ynteu ar lafar, sy'n berthnasol i berfformiad y pennaeth gan neb arall oni bai bod y pennaeth yn cydsynio neu fod yr wybodaeth wedi'i chael yn unol â'r gweithdrefnau y cytunir arnynt o dan baragraff (1) neu os nad oes gweithdrefnau wedi'u cytuno, y gweithdrefnau sydd wedi'u nodi'n ysgrifenedig o dan baragraff (2).

(4) Nid yw paragraff (3) yn gymwys i unrhyw wybodaeth y mae gan werthuswr hawl i'w chael o dan unrhyw ddarpariaeth arall yn y Rheoliadau hyn.

Yr adolygiad gwerthuso a'r datganiad gwerthuso

15. – (1) Ar ddiwedd y cylch gwerthuso neu yn agos i ddiwedd y cylch gwerthuso rhaid i'r holl werthuswyr a'r pennaeth gynnal adolygiad gwerthuso, er mwyn –

- (a) penderfynu a oes perfformiad cyffredinol llwyddiannus wedi bod o'i ystyried yn erbyn safonau proffesiynol penaethiaid a bennir gan Weinidogion Cymru o dro i dro;
- (b) asesu i ba raddau y mae'r pennaeth wedi bodloni'r amcanion a gofnodwyd yn y datganiad amcanion fel y'i nodir yn rheoliad 12(1), gan gymryd i ystyriaeth dystiolaeth berthnasol a gasglwyd drwy'r broses fonitro a nodir yn rheoliad 14 a'r cofnod a gadwyd gan y pennaeth yn unol â rheoliad 12(7); ac
- (c) nodi'r angen am gymorth, hyfforddiant neu ddatblygiad ychwanegol a sut y gallai'r anghenion hynny gael eu diwallu, gan gymryd i ystyriaeth y cofnod a ddisgrifir yn rheoliad 12(7).

(2) Rhaid i'r dyddiad y mae adolygiad gwerthuso i gael ei gynnal gael ei benderfynu gan y gwerthuswyr, ond rhaid rhoi o leiaf 10 diwrnod ysgol o rybudd (mewn ysgrifen) i'r pennaeth am y dyddiad hwnnw.

(3) O leiaf pum diwrnod ysgol cyn yr adolygiad gwerthuso, rhaid i'r pennaeth gyflwyno i'r gwerthuswyr y cofnod a gadwyd o dan reoliad 12(7) a rhaid i'r cofnod gael ei ystyried yn yr adolygiad gwerthuso.

(4) Cyn pen 10 diwrnod ysgol ar ôl pob adolygiad gwerthuso rhaid i'r holl werthuswyr baratoi datganiad ysgrifenedig yn cofnodi'r prif bwyntiau a wnaed gan y gwerthuswyr a'r pennaeth yn yr adolygiad a'r casgliadau y daethpwyd iddynt, a rhaid cofnodi mewn atodiad i'r datganiad (sef atodiad a fydd yn rhan o'r datganiad) yr anghenion hyfforddi a datblygu a ffyrdd o ddiwallu'r anghenion hynny a nodwyd yn yr adolygiad.

(5) Caniateir i adolygiad gwerthuso o dan baragraff (1) gael ei gyfuno â chyfarfod o dan reoliad 12 mewn perthynas â'r cylch gwerthuso canlynol.

(6) Rhaid i'r gwerthuswyr roi copi o'r datganiad a baratoir o dan baragraff (4) i'r pennaeth cyn pen 10 diwrnod ysgol ar ôl yr adolygiad gwerthuso.

(7) Caiff y pennaeth, cyn pen 10 diwrnod ysgol ar ôl cael copi o'r datganiad hwnnw, ychwanegu sylwadau ysgrifenedig ato, a bydd y sylwadau hynny yn rhan o'r datganiad a baratoir o dan y paragraff hwnnw.

(7) A elwir yn gyffredin "Estyn".

Apelio

16. – (1) Mae gan bennaeth hawl i apelio yn erbyn gwerthusiad o dan y Rheoliadau hyn cyn pen 10 diwrnod ysgol ar ôl cael copi o ddatganiad gwerthuso o dan reoliad 15(6).
- (2) Rhaid i apel gael ei gwneud yn ysgrifenedig i'r corff llywodraethu.
- (3) O ran ysgol ac eithrio un sydd â chymeriad crefyddol, cadeirydd y corff llywodraethu fydd un o'r swyddogion apel mewn perthynas ag apel o'r fath, ond os yw cadeirydd y corff llywodraethu wedi cymryd rhan yn y gwerthusiad sy'n destun yr apel, bydd y corff llywodraethu'n penodi llywodraethwr nad yw wedi cymryd rhan yn y gwerthusiad hwnnw yn swyddog apel mewn perthynas ag apel o'r fath yn lle cadeirydd y corff llywodraethu. Bydd y corff llywodraethu hefyd yn penodi llywodraethwr arall na chymerodd ran yn y gwerthusiad hwnnw yn swyddog apel mewn perthynas ag apel o'r fath.
- (4) Ni chaniateir penodi llywodraethwr sy'n athro neu'n athrawes neu'n aelod arall o staff yr ysgol yn swyddog apel ar gyfer pennaeth yr ysgol.
- (5) O ran ysgol ac eithrio un sydd â chymeriad crefyddol, bydd yr awdurdod lleol yn penodi dau o bobl, nad ydynt wedi cymryd rhan yn y gwerthusiad sy'n destun yr apel, yn swyddogion apel mewn perthynas ag apel o'r fath.
- (6) Yn achos ysgol sydd â chymeriad crefyddol, bydd y corff llywodraethu'n penodi un llywodraethwr yn swyddog apel mewn perthynas ag apel o'r fath, a'r llywodraethwr hwnnw fydd cadeirydd y corff llywodraethu, ond os yw cadeirydd y corff llywodraethu wedi cymryd rhan yn y gwerthusiad sy'n destun yr apel, bydd y corff llywodraethu'n penodi llywodraethwr nad yw wedi cymryd rhan yn y gwerthusiad hwnnw yn swyddog apel mewn perthynas ag apel o'r fath yn lle cadeirydd y corff llywodraethu. Bydd yr awdurdod lleol yn penodi dau swyddog apel a'r Awdurdod Esgobaeth yn penodi un swyddog apel, ac ni chaiff yr un o'r swyddogion apel hynny fod wedi cymryd rhan yn y gwerthusiad sy'n destun yr apel.
- (7) Rhaid i'r swyddogion apel gynnal a chwblhau adolygiad o'r gwerthusiad cyn pen 10 diwrnod ysgol ar ôl cael y datganiad gwerthuso o dan reoliad 17(3), ac wrth wneud hynny rhaid iddynt gymryd unrhyw sylwadau a wneir gan y pennaeth i ystyriaeth.
- (8) Caiff y swyddogion apel –
- (a) gorchymyn bod y datganiad gwerthuso yn sefyll gyda sylwadau'r swyddogion apel neu hebddynt; neu
- (b) diwygio'r datganiad gwerthuso gyda chytundeb yr holl werthuswyr; neu
- (c) gorchymyn bod y datganiad gwerthuso yn cael ei ddileu a gorchymyn gwerthusiad newydd.
- (9) Pan fydd gwerthusiad newydd yn cael ei orchymyn o dan baragraff (8)(c) rhaid i'r holl werthuswyr gael eu disodli gan werthuswyr newydd a benodir yn unol â rheoliad 7 a rhaid i'r swyddogion apel benderfynu pa weithdrefnau gwerthuso y mae'n rhaid eu hailadrodd.
- (10) Rhaid cwblhau pob gweithdrefn werthuso y penderfynir ei hailadrodd o dan baragraff (9) cyn pen 15 diwrnod ysgol ar ôl dyddiad gorchymyn y swyddogion apel o dan baragraff (8)(c).
- (11) Ni chaniateir i swyddogion apel –
- (a) penderfynu bod amcanion newydd i gael eu cytuno neu eu pennu yn unol â rheoliad 12; na
- (b) penderfynu bod yr amcanion y cytunwyd arnynt neu a bennwyd o dan reoliad 12 i gael eu diwygio.
- (12) Mae'r cyfeiriadau yn y rheoliad hwn ac yn rheoliadau 17 ac 18 at ddatganiad gwerthuso yn gyfeiriadau at ddatganiad a baratoir o dan reoliad 15(4), gan gynnwys, yn achos rheoliadau 17 ac 18, unrhyw sylwadau a ychwanegir gan y swyddogion apel o dan baragraff (8)(a).

Darparu datganiadau gwerthuso a'u cadw

17. – (1) Rhaid i'r gwerthuswyr roi copi o'r datganiad gwerthuso i'r canlynol—
- (a) y pennaeth;
- (b) cadeirydd y corff llywodraethu;
- (c) y Prif Swyddog Addysg;
- (ch) unrhyw lywodraethwyr sy'n gyfrifol am gynghori ynghylch dyrchafu, disgyblu neu ddiswyddo athrawon ysgol neu ynghylch arfer unrhyw ddisgresiwn mewn perthynas â thâl neu am wneud penderfyniadau mewn perthynas â hynny, os gwneir cais gan y llywodraethwyr hynny; a
- (d) yn achos pennaeth ysgol nad oes ganddi gyllideb ddirprwyedig (o fewn ystyr Pennod IV o Ran II o Ddeddf Safonau a Fframwaith Ysgolion 1998), unrhyw swyddog neu gynghorydd a ddynodir yn benodol gan y Prif Swyddog Addysg i fod yn gyfrifol am gynghori ynghylch arfer unrhyw ddisgresiwn mewn perthynas â thâl neu am wneud penderfyniadau mewn perthynas â hynny, os gwneir cais gan y swyddog neu'r cynghorydd hwnnw.
- (2) Rhaid i gadeirydd y corff llywodraethu roi copi o'r datganiad gwerthuso i unrhyw swyddog neu gynghorydd a ddynodir yn benodol gan y Prif Swyddog Addysg i fod yn gyfrifol am gynghori am berfformiad penaethiaid yn unol â rheoliad 6 o Reoliadau Staffio Ysgolion a Gynhelir (Cymru) 2006(8), neu am wneud penderfyniadau mewn perthynas â hynny, ar ôl cael cais gan y swyddog neu'r cynghorydd hwnnw.
- (3) Rhaid i gadeirydd y corff llywodraethu roi copi o'r datganiad gwerthuso a'r datganiad amcanion i unrhyw swyddog apel cyn pen pum diwrnod ysgol ar ôl i'r corff llywodraethu gael hysbysiad apel o dan reoliad 16(2).
- (4) Pan fydd gwerthuswr newydd yn cael ei benodi heblaw ar ddechrau cylch gwerthuso, rhaid i gadeirydd y corff llywodraethu roi copi o unrhyw ddatganiad amcanion cyfredol i'r person hwnnw.
- (5) Rhaid i gadeirydd y corff llywodraethu roi copi o'r atodiad i'r datganiad gwerthuso y cyfeirir ato yn rheoliad 15(4) i'r person neu'r personau sy'n gyfrifol am gynllunio hyfforddiant a datblygiad y pennaeth yn yr ysgol.

(6) Rhaid i bennaeth gadw copi o ddatganiad gwerthuso am o leiaf dair blynedd ar ôl i'r datganiad gwerthuso nesaf gael ei gwblhau.

(7) Rhaid i'r corff llywodraethu gadw copi o ddatganiad gwerthuso'r pennaeth am o leiaf dair blynedd ar ôl i'r datganiad gwerthuso nesaf gael ei gwblhau.

Gwybodaeth o ddatganiadau gwerthuso

18. – (1) Caniateir i wybodaeth berthnasol o ddatganiadau gwerthuso gael ei chymryd i ystyriaeth gan gyrff llywodraethu ysgolion (gan gynnwys pwyllgorau cyrff llywodraethu), Prif Swyddogion Addysg neu unrhyw swyddogion neu gynghorwyr a ddynodir yn benodol gan Brif Swyddog Addysg o dan reoliad 17(1)(d) neu (2) wrth iddynt wneud penderfyniadau, ac wrth iddynt gynghori'r rhai sy'n gyfrifol am wneud penderfyniadau, ynghylch dyrchafu, diswyddo neu ddisgyblu penaethiaid neu ynghylch arfer unrhyw ddisgresiwn mewn perthynas â thâl.

(2) Ni fydd gweithdrefnau gwerthuso mewn perthynas â phennaeth fel y'u disgrifir yn y Rheoliadau hyn yn ffurfio unrhyw gamau y mae'n rhaid eu cymryd mewn gweithdrefnau disgyblu neu ddiswyddo a ddygir yn erbyn pennaeth.

Darpariaeth drosiannol

19. Mae rheoliadau 17 ac 18 yn gymwys mewn perthynas â chofnodion gwerthuso a gafodd eu cynhyrchu a'u cadw o dan Reoliadau Addysg (Gwerthuso Athrawon Ysgol) (Cymru) 1999(9) neu o dan Reoliadau Gwerthuso Athrawon Ysgol (Cymru) 2002 fel y maent yn gymwys mewn perthynas â datganiadau gwerthuso.

RHAN III

GWERTHUSO ATHRAWON YSGOL HEBLAW PENAEITHIAID

Cymhwyso Rhan III

20. Mae rheoliadau 21 i 33 yn gymwys i werthuso athrawon ysgol heblaw penaethiaid.

Penodi gwerthuswyr ar gyfer athrawon ysgol

21. – (1) Yn ddarostyngedig i reoliad 30(8) rhaid i'r pennaeth benodi yn werthuswr ar gyfer pob athro ac athrawes ysgol yn yr ysgol, athro neu athrawes ysgol yn yr ysgol neu'r pennaeth.

(2) Caiff y pennaeth benodi gwerthuswr newydd yn lle gwerthuswr presennol ar unrhyw adeg.

Y cylch gwerthuso

22. – (1) Yn ddarostyngedig i'r darpariaethau canlynol yn y rheoliad hwn, ac i reoliad 23, rhaid i'r pennaeth benderfynu amseriad cylch gwerthuso pob athro ac athrawes ysgol yn yr ysgol.

(2) Ac eithrio fel y darperir ar ei gyfer ym mharagraffau (3), (4) a (5) a rheoliad 23(3), blwyddyn fydd hyd cylch gwerthuso.

(3) Yn achos athro neu athrawes ysgol a gyflogir o dan gontract cyflogaeth am gyfnod penodol o lai na blwyddyn, hyd y cyfnod penodol yw hyd y cylch gwerthuso.

(4) Yn achos cylch gwerthuso cyntaf athro neu athrawes ysgol o dan y Rheoliadau hyn sydd yn ei swydd ar y dyddiad y daw'r Rheoliadau hyn i rym, caiff y pennaeth benderfynu y bydd hyd y cylch gwerthuso yn gyfnod heblaw blwyddyn ar yr amod nad yw'n dod i ben yn hwyrach na 31 Rhagfyr 2012.

(5) Yn achos cylch gwerthuso cyntaf athro neu athrawes ysgol o dan y Rheoliadau hyn nad yw yn ei swydd ar y dyddiad y daw'r Rheoliadau hyn i rym, caiff y pennaeth benderfynu y bydd hyd y cylch yn gyfnod o lai na blwyddyn.

(6) Yn achos athro neu athrawes ysgol mewn ysgol feithrin a gynhelir sydd yn ei swydd ar y dyddiad perthnasol, caiff y pennaeth benderfynu bod hyd y cylch gwerthuso cyntaf yn gyfnod heblaw blwyddyn ar yr amod nad yw'n dod i ben yn hwyrach na 31 Rhagfyr 2012.

(7) Yn achos athro neu athrawes ysgol a gyflogir o dan gontract cyflogaeth am gyfnod penodol o lai na blwyddyn (ond nad yw'n gontract cyfnod byr) sydd yn ei swydd ar y dyddiad perthnasol, rhaid i'r perfformiad gael ei werthuso drwy gydol y cyfnod o'r contract sydd heb ddod i ben fel y mae ar y dyddiad perthnasol a'i adolygu ar ddiwedd y cyfnod penodol.

(8) Pan fyddant wedi dechrau, bydd cylchoedd gwerthuso pob athro ac athrawes ysgol yn barhaus.

(9) Ni fydd penodi gwerthuswr newydd yn peri bod cylch gwerthuso athro neu athrawes ysgol yn dechrau eto.

Cylch gwerthuso newydd

23. – (1) Os bydd athro neu athrawes ysgol yn symud i swydd athro neu athrawes ysgol mewn ysgol arall, bydd y cylch gwerthuso yn dechrau eto.

(2) Os bydd athro neu athrawes ysgol yn symud i swydd newydd fel athro neu athrawes ysgol yn yr un ysgol, caiff y pennaeth benderfynu y bydd y cylch gwerthuso yn dechrau eto.

(3) Pan fydd cylch gwerthuso athro neu athrawes ysgol yn dechrau eto o dan baragraff (1) neu (2), caiff y pennaeth benderfynu y bydd hyd cylch gwerthuso cyntaf yr athro neu'r athrawes ysgol yn y swydd newydd yn gyfnod o lai na blwyddyn.

Y cylch gwerthuso cyntaf

24. Rhaid i'r corff llywodraethu gymryd pob cam rhesymol i sicrhau bod cylch gwerthuso cyntaf pob athro ac athrawes ysgol yn yr ysgol sydd yn ei swydd ar y dyddiad y daw'r Rheoliadau hyn i rym yn dechrau erbyn 31 Rhagfyr 2012 fan bellaf.

Polisi Rheoli Perfformiad yr Ysgol

25. Rhaid i werthusiad athrawon ysgol mewn ysgol fod yn unol â darpariaethau Polisi Rheoli Perfformiad yr Ysgol.

Cynllunio gwerthusiad a phennu amcanion

26. – (1) Cyn y cylch gwerthuso neu ar ddechrau'r cylch gwerthuso, rhaid i'r gwerthuswr a'r athro neu'r athrawes ysgol gyfarfod er mwyn cynllunio'r gwerthusiad a pharatoi ar ei gyfer a cheisio cytuno ar amcanion yr athro neu'r athrawes ysgol y mae'n rhaid iddynt gymryd i ystyriaeth unrhyw dystiolaeth berthnasol y bydd y gwerthuswr a'r athro neu'r athrawes ysgol yn cytuno arni (neu os na cheir cytundeb, unrhyw dystiolaeth berthnasol y penderfynir arni gan y gwerthuswr) ond a fydd yn cynnwys yr Wybodaeth am Berfformiad Disgyblion, ac y mae'n rhaid iddynt ymwneud â'r canlynol –
- (a) datblygu a gwella arferion proffesiynol yr athro neu'r athrawes ysgol;
 - (b) disgrifiad swydd yr athro neu'r athrawes ysgol;
 - (c) unrhyw feini prawf perthnasol ynghylch datblygiad cyflog;
 - (ch) unrhyw amcanion perthnasol i'r ysgol gyfan neu i'r tîm a bennwyd yng Nghynllun Gwella'r Ysgol; a
 - (d) safonau proffesiynol athrawon ysgol fel y'u pennir gan Weinidogion Cymru o dro i dro.
- (2) Caniateir i amcanion yr athro neu'r athrawes ysgol a ddisgrifir ym mharagraff (1) gymryd i ystyriaeth hefyd –
- (a) dyheadau proffesiynol yr athro neu'r athrawes ysgol; a
 - (b) unrhyw flaenoriaethau cenedlaethol ar gyfer gwella ysgolion a bennir gan Weinidogion Cymru o dro i dro.
- (3) Bydd amcanion yr athro neu'r athrawes ysgol yn gyfryw ag i gyfrannu, o'u cyflawni, at wella cynnydd disgyblion yr ysgol.
- (4) Os na chytunir ar amcanion o dan baragraff (1), rhaid i'r gwerthuswr nodi'n ysgrifenedig yr amcanion hynny y mae'n credu eu bod yn briodol, a chaiff yr athro neu'r athrawes ysgol ychwanegu sylwadau ysgrifenedig.
- (5) Rhaid i'r amcanion y cytunir arnynt o dan baragraff (1), neu os nad oes amcanion wedi'u cytuno, yr amcanion sydd wedi'u nodi'n ysgrifenedig o dan baragraff (4), a sylwadau ysgrifenedig yr athro neu'r athrawes ysgol, gael eu cofnodi mewn datganiad amcanion ysgrifenedig.
- (6) Pan fo'r amcanion wedi'u pennu, rhaid i'r gwerthuswr a'r athro neu'r athrawes ysgol geisio cytuno ar y cymorth y mae ar yr athro neu'r athrawes ysgol ei angen er mwyn bodloni'r amcanion. Os na ellir cytuno, y gwerthuswr fydd yn penderfynu ar y cymorth y mae ei angen.
- (7) Yn ystod y cylch gwerthuso, rhaid i'r athro neu'r athrawes ysgol gadw cofnod cyfoes o'r canlynol –
- (a) asesiad yr athro neu'r athrawes ysgol ei hun o berfformiad yn erbyn yr amcanion a gofnodwyd yn y datganiad amcanion;
 - (b) manylion unrhyw weithgareddau datblygu proffesiynol yr ymgwymerwyd â hwy neu gymorth arall a roddwyd a sut mae hynny'n cyfrannu at gyflawni'r amcanion; ac
 - (c) manylion unrhyw ffactorau y mae'r athro neu'r athrawes ysgol yn credu eu bod yn effeithio ar y perfformiad yn erbyn yr amcanion a gofnodwyd.

Diwygio amcanion

27. – (1) Caniateir i amcanion athro neu athrawes ysgol gael eu diwygio gan y gwerthuswr unrhyw bryd yn ystod y cylch gwerthuso.
- (2) Os yw amcanion athro neu athrawes ysgol yn cael eu diwygio o dan baragraff (1)—
- (a) rhaid newid y datganiad amcanion i ddangos yr amcan diwygiedig, dyddiad y diwygiad a'r rheswm dros y diwygiad;
 - (b) caiff cyfeiriadau yn y Rheoliadau hyn at amcanion yr athro neu'r athrawes ysgol eu darllen fel cyfeiriadau at yr amcanion diwygiedig; ac
 - (c) caiff cyfeiriadau yn y Rheoliadau hyn at ddatganiad amcanion yr athro neu'r athrawes ysgol eu darllen fel cyfeiriadau at y datganiad amcanion diwygiedig.

Monitro cynnydd

28. – (1) Rhaid i'r gwerthuswr a'r athro neu'r athrawes ysgol mewn cyfarfod a gynhelir o dan reoliad 26(1) geisio cytuno ar y gweithdrefnau ar gyfer monitro perfformiad yr athro neu'r athrawes ysgol yn erbyn yr amcanion y cytunir arnynt o dan reoliad 26(1) neu os nad oes amcanion wedi'u cytuno, yr amcanion sydd wedi'u nodi'n ysgrifenedig o dan reoliad 26(5).
- (2) Os na chytunir ar weithdrefnau o dan baragraff (1), rhaid i'r gwerthuswr nodi'n ysgrifenedig unrhyw weithdrefnau ar gyfer monitro perfformiad yr athro neu'r athrawes ysgol y mae'n credu eu bod yn briodol.
- (3) Rhaid i'r gweithdrefnau y cytunir arnynt o dan baragraff (1), neu lle nad oes gweithdrefnau wedi'u cytuno, y gweithdrefnau a nodwyd yn ysgrifenedig o dan baragraff (2) gynnwys gofyniad bod rhaid i'r gwerthuswr wrth iddo werthuso athro neu athrawes ysgol arsylwi ar yr athro neu'r athrawes ysgol yn addysgu o leiaf unwaith yn ystod y cylch gwerthuso.
- (4) Yn ddarostyngedig i baragraff (5), ni chaniateir i werthuswr gael gwybodaeth, yn ysgrifenedig ynteu ar lafar, sy'n berthnasol i berfformiad yr athro neu'r athrawes ysgol gan neb arall oni bai bod yr athro neu'r athrawes ysgol yn cydsynio neu fod yr wybodaeth wedi'i chael yn unol â'r gweithdrefnau y cytunir arnynt o dan baragraff (1) neu os nad oes gweithdrefnau wedi'u cytuno, y gweithdrefnau sydd wedi'u nodi'n ysgrifenedig o dan baragraff (2).
- (5) Nid yw paragraff (4) yn gynnwys i unrhyw wybodaeth y mae gan werthuswr hawl i'w chael o dan unrhyw ddarpariaeth arall yn y Rheoliadau hyn.

Yr adolygiad gwerthuso a'r datganiad gwerthuso

- 29.** – (1) Ar ddiwedd y cylch gwerthuso neu yn agos i ddiwedd y cylch gwerthuso rhaid i'r gwerthuswr a'r athro neu'r athrawes ysgol gynnal adolygiad gwerthuso, er mwyn –
- (a) asesu i ba raddau y mae'r athro neu'r athrawes ysgol wedi bodloni'r amcanion a gofnodwyd yn y datganiad amcanion fel y'i nodir yn rheoliad 26(1), gan gymryd i ystyriaeth y cofnod y mae'n rhaid i'r athro neu'r athrawes ysgol ei gadw yn unol â rheoliad 26(7);
 - (b) penderfynu a oes perfformiad cyffredinol llwyddiannus wedi bod o'i ystyried yn erbyn safonau proffesiynol athrawon ysgol a bennir gan Weinidogion Cymru o dro i dro; ac
 - (c) nodi'r angen am gymorth, hyfforddiant neu ddatblygiad ychwanegol a ffyrdd o ddiwallu'r anghenion hynny, gan gymryd i ystyriaeth hefyd y cofnod a ddisgrifir yn rheoliad 26(7).
- (2) Bydd y dyddiad y mae adolygiad gwerthuso i gael ei gynnal yn cael ei benderfynu gan y gwerthuswr, ond rhaid rhoi o leiaf 10 diwrnod ysgol o rybudd (mewn ysgrifen) i'r athro neu'r athrawes ysgol am y dyddiad hwnnw.
- (3) O leiaf pum diwrnod ysgol cyn yr adolygiad gwerthuso, rhaid i'r athro neu'r athrawes ysgol gyflwyno i'r gwerthuswr y cofnod a gadwyd o dan reoliad 26(7) a rhaid i'r cofnod gael ei ystyried yn yr adolygiad gwerthuso.
- (4) Cyn pen 10 diwrnod ysgol ar ôl pob adolygiad gwerthuso rhaid i'r gwerthuswr baratoi datganiad ysgrifenedig yn cofnodi'r prif bwyntiau a wnaed gan y gwerthuswr a'r athro neu'r athrawes ysgol yn yr adolygiad a'r casgliadau y daethpwyd iddynt, a rhaid cofnodi mewn atodiad i'r datganiad (sef atodiad a fydd yn rhan o'r datganiad) yr anghenion hyfforddi a datblygu a ffyrdd o ddiwallu'r anghenion hynny a nodwyd yn yr adolygiad.
- (5) Caniateir i'r adolygiad gwerthuso o dan baragraff (1) gael ei gyfuno â chyfarfod o dan reoliad 26 mewn perthynas â'r cylch gwerthuso canlynol.
- (6) Rhaid i'r gwerthuswr roi copi o'r datganiad a baratoir o dan baragraff (4) i'r athro neu'r athrawes ysgol cyn pen 10 diwrnod ysgol ar ôl yr adolygiad gwerthuso.
- (7) Caiff yr athro neu'r athrawes ysgol, cyn pen 10 diwrnod ysgol ar ôl cael copi o'r datganiad hwnnw, ychwanegu sylwadau ysgrifenedig ato, a bydd y sylwadau hynny yn rhan o'r datganiad a baratoir o dan y paragraff hwnnw.

Apelio

- 30.** – (1) Mae gan athro neu athrawes ysgol hawl i apelio yn erbyn gwerthusiad o dan y Rheoliadau hyn cyn pen 10 diwrnod ysgol ar ôl cael copi o ddatganiad gwerthuso o dan reoliad 29(6).
- (2) Rhaid i apêl gael ei gwneud yn ysgrifenedig i'r corff llywodraethu.
- (3) Y pennaeth fydd y swyddog apêl mewn perthynas ag apêl o'r fath, ac eithrio os y pennaeth yw'r gwerthuswr, a'r pryd hynny cadeirydd y corff llywodraethu fydd y swyddog apêl.
- (4) Os cadeirydd y corff llywodraethu yw'r swyddog apêl, rhaid i'r awdurdod lleol benodi cynrychiolydd i gynorthwyo'r swyddog apêl.
- (5) Rhaid i'r swyddog apêl gynnal a chwblhau adolygiad o'r gwerthusiad cyn pen 10 diwrnod ysgol ar ôl cael y datganiad gwerthuso o dan reoliad 31(2)(b), a rhaid iddo gymryd unrhyw sylwadau a wneir gan yr athro neu'r athrawes ysgol i ystyriaeth.
- (6) Caiff y swyddog apêl –
- (a) gorchymyn bod y datganiad gwerthuso yn sefyll gyda sylwadau'r swyddog apêl neu hebddynt; neu
 - (b) diwygio'r datganiad gwerthuso gyda chytundeb y gwerthuswr; neu
 - (c) gorchymyn bod y datganiad gwerthuso yn cael ei ddileu a gorchymyn gwerthusiad newydd.
- (7) Pan fydd gwerthusiad newydd yn cael ei orchymyn o dan baragraff (6)(c) rhaid penodi gwerthuswr newydd yn unol â rheoliad 21 a rhaid i'r swyddog apêl benderfynu pa weithdrefnau gwerthuso y mae'n rhaid eu hailadrodd.
- (8) Os yw'n ymddangos i'r swyddog apêl nad oes gwerthuswr addas newydd a all gael ei benodi i'r athro neu'r athrawes ysgol o dan reoliad 21, rhaid i'r swyddog apêl benodi aelod o gorff llywodraethu'r ysgol yn werthuswr newydd i'r athro neu'r athrawes ysgol.
- (9) Ni chaniateir penodi llywodraethwr sy'n athro neu'n athrawes neu'n aelod arall o staff yr ysgol yn werthuswr i athro neu athrawes ysgol o dan baragraff (8).
- (10) Rhaid cwblhau pob gweithdrefn werthuso y penderfynir ei hailadrodd o dan baragraff (7) cyn pen 15 diwrnod ysgol ar ôl dyddiad gorchymyn y swyddog apêl o dan baragraff (6)(c).
- (11) Ni chaniateir i'r swyddog apêl –
- (a) penderfynu bod amcanion newydd i gael eu cytuno neu eu pennu yn unol â rheoliad 26; na
 - (b) penderfynu bod yr amcanion y cytunwyd arnynt neu a bennwyd o dan reoliad 26 i gael eu diwygio.
- (12) Mae'r cyfeiriadau yn y rheoliad hwn ac yn rheoliadau 31 a 32 at ddatganiad gwerthuso yn gyfeiriadau at ddatganiad a baratoir o dan reoliad 29(4), gan gynnwys, yn achos rheoliadau 31 a 32, unrhyw sylwadau a ychwanegir gan swyddog apêl o dan baragraff (6)(a).

Darparu datganiadau gwerthuso a'u cadw

- 31.** – Rhaid i'r gwerthuswr roi copi o'r datganiad gwerthuso i'r pennaeth.
- (2) Caiff y personau canlynol wneud cais am gopi o'r datganiad gwerthuso a rhaid i'r pennaeth, os gwneir cais o'r fath, drefnu bod copi o'r datganiad gwerthuso ar gael i'r person hwnnw –
- (a) y gwerthuswr;
 - (b) unrhyw swyddog apêl cyn pen pum diwrnod ysgol ar ôl i'r corff llywodraethu gael hysbysiad ynglŷn ag apêl o dan reoliad 30(2), y mae'n rhaid rhoi copi iddo hefyd o'r datganiad amcanion;

- (c) unrhyw lywodraethwyr sy'n gyfrifol am gynghori ynghylch dyrchafu athrawon ysgol neu ynghylch arfer unrhyw ddisgresiwn mewn perthynas â thâl neu am wneud penderfyniadau mewn perthynas â hynny; ac
- (ch) yn achos athro neu athrawes ysgol a gyflogir mewn ysgol nad oes ganddi gyllideb ddirprwyedig (o fewn ystyr Pennod IV o Ran II o Ddeddf Safonau a Fframwaith Ysgolion 1998) y Prif Swyddog Addysg neu unrhyw swyddog neu gynghorydd a ddynodir yn benodol gan y Prif Swyddog Addysg i fod yn gyfrifol am gynghori ynghylch dyrchafu athrawon ysgol neu ynghylch arfer unrhyw ddisgresiwn mewn perthynas â thâl neu am wneud penderfyniadau mewn perthynas â hynny.
- (3) Os yw'r athro neu'r athrawes ysgol yn gymwys ar gyfer datblygiad cyflog o dan y Ddogfen, rhaid i'r gwerthuswr roi argymhelliad ynghylch datblygiad cyflog i'r pennaeth, gan roi sylw i ddatganiad gwerthuso'r athro neu'r athrawes ysgol.
- (4) Rhaid i'r pennaeth roi copi o'r atodiad i'r datganiad gwerthuso y cyfeirir ato yn rheoliad 29(4) i'r person neu'r personau sy'n gyfrifol am gynllunio hyfforddiant a datblygiad yr athrawon ysgol yn yr ysgol.
- (5) Rhaid i'r pennaeth drefnu bod copi o ddatganiad amcanion cyfredol athro neu athrawes ysgol ar gael i werthuswr newydd a benodir heblaw ar ddechrau cylch gwerthuso.
- (6) Rhaid i ddatganiad gwerthuso athro neu athrawes ysgol gael ei gadw gan y pennaeth am o leiaf dair blynedd ar ôl i'r datganiad gwerthuso nesaf gael ei gwblhau.

Gwybodaeth o ddatganiadau gwerthuso

- 32.** – (1) Caniateir i wybodaeth berthnasol o ddatganiadau gwerthuso gael ei chymryd i ystyriaeth gan benaethiaid, cyrff llywodraethu ysgolion (gan gynnwys pwyllgorau cyrff llywodraethu), Prif Swyddogion Addysg neu unrhyw swyddogion neu gynghorwyr a ddynodir yn benodol gan Brif Swyddog Addysg o dan reoliad 31(2)(ch) wrth iddynt wneud penderfyniadau, ac wrth iddynt gynghori'r rhai sy'n gyfrifol am wneud penderfyniadau, ynghylch dyrchafu, diswyddo neu ddisgyblu athrawon ysgol neu ynghylch arfer unrhyw ddisgresiwn mewn perthynas â thâl.
- (2) Ni fydd gweithdrefnau gwerthuso mewn perthynas ag athro neu athrawes ysgol fel y'u disgrifir yn y Rheoliadau hyn yn ffurfio unrhyw gamau y mae'n rhaid eu cymryd mewn gweithdrefnau disgyblu neu ddiswyddo a ddygir yn erbyn yr athro neu'r athrawes ysgol.

Darpariaeth drosiannol

- 33.** Mae rheoliadau 31 a 32 yn gymwys mewn perthynas â chofnodion gwerthuso a gafodd eu cynhyrchu a'u cadw o dan Reoliadau Addysg (Gwerthuso Athrawon Ysgol) (Cymru) 1999 neu o dan Reoliadau Gwerthuso Athrawon Ysgol (Cymru) 2002 fel y maent yn gymwys mewn perthynas â datganiadau gwerthuso.

RHAN IV

Gwerthuso Athrawon Digyswllt

Cymhwyso Rhan IV

- 34.** – (1) Mae rheoliadau 35 i 45 yn gymwys i werthuso athrawon digyswllt.
- (2) Yn y Rhan IV hon mae "ysgol" ("school") yn cynnwys uned cyfeirio disgyblion ac mae cyfeiriadau at bennaeth yn cynnwys cyfeiriad at athro neu athrawes sydd â gofal uned cyfeirio disgyblion.

Y gofyniad ar yr awdurdod i gynhyrchu polisi rheoli perfformiad

- 35.** – (1) Rhaid i'r awdurdod gael polisi ysgrifenedig ("y polisi rheoli perfformiad") sy'n nodi sut y mae gwerthuso athrawon digyswllt i gael ei roi ar waith.
- (2) Rhaid i'r awdurdod adolygu'r polisi rheoli perfformiad bob blwyddyn ysgol.
- (3) Yn sgil adolygiad o'r fath rhaid i'r awdurdod, os yw'n gweld yn dda, ddiwygio'r polisi rheoli perfformiad.
- (4) Cyn sefydlu neu ddiwygio'r polisi rheoli perfformiad rhaid i'r awdurdod ymgynghori â phob un o'i athrawon digyswllt ynghylch ffurfio'r polisi rheoli perfformiad neu ei ddiwygio.
- (5) Rhaid i'r awdurdod roi'r polisi rheoli perfformiad ar waith.
- (6) Rhaid i'r awdurdod drefnu bod copi o'r polisi rheoli perfformiad ar gael i'w archwilio ar unrhyw adeg resymol gan y canlynol:
- (a) unrhyw athro neu athrawes ddigyswllt;
 - (b) unrhyw berson sy'n ymwneud ag arolygu sut y mae'r system gwerthuso athrawon digyswllt yn gweithio;
 - (c) unrhyw werthuswr a benodir yn unol â'r Rheoliadau hyn.

Penodi gwerthuswyr ar gyfer athrawon digyswllt

- 36.** – (1) Yn ddarostyngedig i'r paragraffau canlynol yr awdurdod yw'r gwerthuswr ar gyfer pob athro neu athrawes ddigyswllt.
- (2) Caiff yr awdurdod ddirprwyo rhai neu'r cyfan o'r dyletswyddau a osodir ar werthuswr i athro neu athrawes ysgol yn yr ysgol lle mae'r athro neu'r athrawes ddigyswllt yn treulio prif ran ei amser gwaith neu ei hamser gwaith, neu i unrhyw berson arall y mae'r awdurdod yn credu ei fod yn y sefyllfa orau i reoli ac i adolygu perfformiad yr athro neu'r athrawes ddigyswllt.
- (3) Caiff yr awdurdod benodi gwerthuswr newydd yn lle gwerthuswr presennol ar unrhyw adeg neu caiff gyflawni'r dyletswyddau hynny ei hun.

Y cylch gwerthuso

37. – (1) Yn ddarostyngedig i'r darpariaethau canlynol yn y rheoliad hwn, rhaid i'r awdurdod benderfynu amseriad cylch gwerthuso pob athro ac athrawes ddigyswllt a gyflogir ganddo.
- (2) Ac eithrio fel y darperir ar ei gyfer ym mharagraffau (3), (4) a (5) blwyddyn fydd hyd cylch gwerthuso.
- (3) Yn achos cylch gwerthuso cyntaf athro neu athrawes ddigyswllt o dan y Rheoliadau hyn sydd yn ei swydd ar y dyddiad perthnasol, caiff yr awdurdod benderfynu y bydd hyd y cylch gwerthuso yn gyfnod heblaw blwyddyn.
- (4) Yn achos cylch gwerthuso cyntaf athro neu athrawes ddigyswllt o dan y Rheoliadau hyn sydd heb fod yn ei swydd ar y dyddiad perthnasol, caiff yr awdurdod benderfynu y bydd hyd y cylch gwerthuso cyntaf yn gyfnod o lai na blwyddyn.
- (5) Yn achos athro neu athrawes ddigyswllt a gyflogir o dan gontract cyflogaeth am gyfnod penodol o lai na blwyddyn, rhaid i'r perfformiad gael ei reoli drwy gydol cyfnod y contract a chael ei adolygu ar ddiwedd y cyfnod hwnnw.
- (6) Rhaid i'r awdurdod gymryd pob cam rhesymol i sicrhau bod cylch gwerthuso cyntaf pob athro ac athrawes ddigyswllt sydd yn ei swydd ar y dyddiad perthnasol yn dechrau erbyn 31 Rhagfyr 2012 fan bellaf.
- (7) Pan fyddant wedi dechrau, bydd cylchoedd gwerthuso pob athro ac athrawes ddigyswllt yn barhaus.
- (8) Ni fydd penodi gwerthuswr newydd yn peri bod cylch gwerthuso athro neu athrawes ddigyswllt yn dechrau eto ac eithrio fel y darperir ar ei gyfer ym mharagraff (9).
- (9) Pan fydd athro neu athrawes ddigyswllt yn trosglwyddo i swydd newydd yn yr awdurdod ran o'r ffordd drwy gylch gwerthuso, rhaid i'r awdurdod benderfynu a fydd y cylch yn dechrau eto ac os felly a ddylid penodi gwerthuswr newydd.

Gweithdrefnau gwerthuso

38. – (1) Yn ddarostyngedig i baragraff (2) ac i reoliadau 39 i 43 rhaid i'r awdurdod benderfynu ar y gweithdrefnau ar gyfer gwerthuso athrawon digyswllt.
- (2) Os yw rhai o ddyletswyddau'r awdurdod neu'r cyfan ohonynt mewn perthynas ag athro neu athrawes ddigyswllt wedi'u dirprwyo i athro neu athrawes yn yr ysgol yn unol â rheoliad 36(2) yna yn ddarostyngedig i reoliadau 39 i 43, rhaid i'r gweithdrefnau ar gyfer gwerthuso'r athro digyswllt hwnnw neu'r athrawes ddigyswllt honno fod yn rhai a benderfynir gan gorff llywodraethu'r ysgol yn unol â rheoliad 25.

Cynllunio gwerthusiad a phennu amcanion

39. – (1) Cyn y cylch gwerthuso neu ar ddechrau'r cylch gwerthuso, rhaid i'r gwerthuswr a'r athro neu'r athrawes ddigyswllt gyfarfod er mwyn cynllunio'r gwerthusiad a pharatoi ar ei gyfer a cheisio cytuno ar amcanion yr athro neu'r athrawes ddigyswllt y mae'n rhaid iddynt gymryd i ystyriaeth unrhyw dystiolaeth berthnasol y bydd y gwerthuswr a'r athro neu'r athrawes ddigyswllt yn cytuno arni (neu os na cheir cytundeb, unrhyw dystiolaeth berthnasol y penderfynir arni gan y gwerthuswr) ond a fydd yn cynnwys yr Wybodaeth am Berfformiad Disgyblion ac y mae'n rhaid iddynt ymwneud â'r canlynol –
- (a) datblygu a gwella arferion proffesiynol yr athro neu'r athrawes ddigyswllt;
- (b) disgrifiad swydd yr athro neu'r athrawes ddigyswllt;
- (c) unrhyw feini prawf perthnasol ynghylch datblygiad cyflog;
- (ch) unrhyw amcanion perthnasol i'r ysgol gyfan neu i'r tîm a bennwyd yng Nghynllun Gwella'r Ysgol; a
- (d) safonau proffesiynol athrawon ysgol fel y'u pennir gan Weinidogion Cymru o dro i dro.
- (2) Caniateir i amcanion yr athro neu'r athrawes ddigyswllt a ddisgrifir ym mharagraff (1) gymryd i ystyriaeth hefyd –
- (a) dyheadau proffesiynol yr athro neu'r athrawes ddigyswllt; a
- (b) unrhyw flaenoriaethau cenedlaethol ar gyfer gwella ysgolion a bennir gan Weinidogion Cymru o dro i dro.
- (3) Bydd amcanion yr athro neu'r athrawes ddigyswllt yn gyfryw ag i gyfrannu, o'u cyflawni, at wella cynnydd disgyblion yr ysgolion lle mae'r athro neu'r athrawes ddigyswllt yn gweithio.
- (4) Os na chytunir ar amcanion o dan baragraff (1), rhaid i'r gwerthuswr nodi'n ysgrifenedig yr amcanion hynny y mae'n credu eu bod yn briodol, a chaiff yr athro neu'r athrawes ddigyswllt ychwanegu sylwadau ysgrifenedig.
- (5) Rhaid i'r amcanion y cytunir arnynt o dan baragraff (1), neu os nad oes amcanion wedi'u cytuno, yr amcanion sydd wedi'u nodi'n ysgrifenedig o dan baragraff (4), a sylwadau ysgrifenedig yr athro neu'r athrawes ddigyswllt, gael eu cofnodi mewn datganiad amcanion ysgrifenedig.
- (6) Pan fo'r amcanion wedi'u pennu, rhaid i'r gwerthuswr a'r athro neu'r athrawes ddigyswllt geisio cytuno ar y cymorth y mae ar yr athro neu'r athrawes ddigyswllt ei angen er mwyn bodloni'r amcanion. Os na ellir cytuno, y gwerthuswr fydd yn penderfynu ar y cymorth y mae ei angen.
- (7) Yn ystod y cylch gwerthuso, rhaid i'r athro neu'r athrawes ddigyswllt gadw cofnod cyfoes o'r canlynol –
- (a) asesiad yr athro neu'r athrawes ddigyswllt ei hun o berfformiad yn erbyn yr amcanion a gofnodwyd yn y datganiad amcanion;
- (b) manylion unrhyw weithgareddau datblygu proffesiynol yr ymgymherwyd â hwy neu gymorth arall a roddwyd a sut y mae hynny'n cyfrannu at gyflawni'r amcanion; ac
- (c) manylion unrhyw ffactorau y mae'r athro neu'r athrawes ddigyswllt yn credu eu bod yn effeithio ar y perfformiad yn erbyn yr amcanion a gofnodwyd.

Diwygio amcanion

40. – (1) Caniateir i amcanion athro neu athrawes ddigyswllt gael eu diwygio gan y gwerthuswr ar unrhyw adeg yn ystod y cylch gwerthuso.
- (2) Os yw amcanion athro neu athrawes ddigyswllt yn cael eu diwygio o dan baragraff (1)—
- (a) rhaid newid y datganiad amcanion i ddangos y diwygiadau;

- (b) caiff cyfeiriadau yn y Rheoliadau hyn at amcanion yr athro neu'r athrawes ddigyswllt eu darllen fel cyfeiriadau at yr amcanion diwygiedig; ac
- (c) caiff cyfeiriadau yn y Rheoliadau hyn at ddatganiad amcanion yr athro neu'r athrawes ddigyswllt eu darllen fel cyfeiriadau at y datganiad amcanion diwygiedig.

Monitro cynnydd

- 41.** – (1) Rhaid i'r gwerthuswr a'r athro neu'r athrawes ddigyswllt mewn cyfarfod a gynhelir o dan reoliad 39 geisio cytuno ar y gweithdrefnau ar gyfer monitro perfformiad yr athro neu'r athrawes ddigyswllt yn erbyn yr amcanion y cytunir arnynt o dan reoliad 39(1) neu os nad oes amcanion wedi'u cytuno, yr amcanion sydd wedi'u nodi'n ysgrifenedig o dan reoliad 39(4).
- (2) Os na chytunir ar weithdrefnau o dan baragraff (1), rhaid i'r gwerthuswr nodi'n ysgrifenedig y gweithdrefnau hynny ar gyfer monitro perfformiad yr athro neu'r athrawes ddigyswllt y mae'n credu eu bod yn briodol.
- (3) Rhaid i'r gweithdrefnau p'un a ydynt wedi'u cytuno o dan baragraff (1) ynteu wedi'u nodi'n ysgrifenedig o dan baragraff (2) gynnwys:
- (a) gofyniad bod y gwerthuswr wrth werthuso'r athro neu'r athrawes ddigyswllt yn arsylwi ar yr athro neu'r athrawes ddigyswllt yn addysgu o leiaf unwaith yn ystod y cylch gwerthuso;
 - (b) gofyniad bod y gwerthuswr yn ceisio gwybodaeth gan y rhai sydd â gwybodaeth broffesiynol berthnasol am yr athro neu'r athrawes ddigyswllt mewn mannau eraill lle mae'r athro neu'r athrawes ddigyswllt yn treulio rhan o'i amser gwaith neu ei hamser gwaith yn rheolaidd.
- (4) Yn ddarostyngedig i baragraffau (3) a (5) ni chaiff gwerthuswr gael gwybodaeth, yn ysgrifenedig ynteu ar lafar, sy'n berthnasol i berfformiad yr athro neu'r athrawes ddigyswllt gan neb arall oni bai bod yr athro neu'r athrawes ddigyswllt yn cydsynio neu fod yr wybodaeth wedi'i chael yn unol â'r gweithdrefnau y cytunir arnynt o dan baragraff (1), neu os nad oes gweithdrefnau wedi'u cytuno, y gweithdrefnau sydd wedi'u nodi'n ysgrifenedig o dan baragraff (2).
- (5) Nid yw paragraff (4) yn gymwys i unrhyw wybodaeth y mae gan werthuswr hawl i'w chael o dan unrhyw ddarpariaeth arall yn y Rheoliadau hyn.

Yr adolygiad gwerthuso a'r datganiad gwerthuso

- 42.** – (1) Ar ddiwedd y cylch gwerthuso neu yn agos i ddiwedd y cylch gwerthuso rhaid i'r gwerthuswr a'r athro neu'r athrawes ddigyswllt gynnal adolygiad gwerthuso, er mwyn –
- (a) asesu i ba raddau y mae'r athro neu'r athrawes ddigyswllt wedi bodloni'r amcanion a gofnodwyd yn y datganiad amcanion fel y'i nodir yn rheoliad 39(1), gan gymryd i ystyriaeth y cofnod y mae'n rhaid i'r athro neu'r athrawes ddigyswllt ei gadw yn unol â rheoliad 39(7);
 - (b) penderfynu a oes perfformiad cyffredinol llwyddiannus wedi bod o'i ystyried yn erbyn safonau proffesiynol athrawon ysgol a bennir gan Weinidogion Cymru o dro i dro; ac
 - (c) nodi'r angen am gymorth, hyfforddiant neu ddatblygiad ychwanegol a ffyrdd o ddiwallu'r anghenion hynny, gan gymryd i ystyriaeth hefyd y cofnod a ddisgrifir yn rheoliad 39(7).
- (2) Bydd y dyddiad y mae adolygiad gwerthuso i gael ei gynnal yn cael ei benderfynu gan y gwerthuswr, ond rhaid rhoi o leiaf 10 diwrnod ysgol o rybudd (mewn ysgrif) i'r athro neu'r athrawes ddigyswllt am y dyddiad hwnnw.
- (3) O leiaf pum diwrnod ysgol cyn yr adolygiad gwerthuso, rhaid i'r athro neu'r athrawes ddigyswllt gyflwyno i'r gwerthuswr y cofnod a gadwyd o dan reoliad 39(7) a rhaid i'r cofnod gael ei ystyried yn yr adolygiad gwerthuso.
- (4) Cyn pen 10 diwrnod ysgol ar ôl pob adolygiad gwerthuso, rhaid i'r gwerthuswr baratoi datganiad ysgrifenedig yn cofnodi'r prif bwyntiau a wnaed gan y gwerthuswr a'r athro neu'r athrawes ddigyswllt yn yr adolygiad a'r casgliadau y daethpwyd iddynt, a rhaid cofnodi mewn atodiad i'r datganiad (sef atodiad a fydd yn rhan o'r datganiad) yr anghenion hyfforddi a datblygu a ffyrdd o ddiwallu'r anghenion hynny a nodwyd yn yr adolygiad.
- (5) Caniateir i adolygiad gwerthuso o dan baragraff (1) gael ei gyfuno â chyfarfod o dan reoliad 39 mewn perthynas â'r cylch gwerthuso canlynol.
- (6) Rhaid i'r gwerthuswr roi copi o'r datganiad a baratoir o dan baragraff (4) i'r athro neu'r athrawes ddigyswllt cyn pen 10 diwrnod ysgol ar ôl yr adolygiad gwerthuso.
- (7) Caiff yr athro neu'r athrawes ddigyswllt, cyn pen 10 diwrnod ysgol ar ôl cael copi o'r datganiad hwnnw, ychwanegu sylwadau ysgrifenedig ato, a bydd y sylwadau hynny yn rhan o'r datganiad gwerthuso.
- (8) Os nad yr awdurdod yw'r gwerthuswr, rhaid i'r gwerthuswr anfon copi o'r datganiad gwerthuso i'r awdurdod ac at bennaeth unrhyw ysgol lle mae'r athro neu'r athrawes ddigyswllt yn treulio rhan o'i amser gwaith neu o'i hamser gwaith yn rheolaidd.
- (9) Os yr awdurdod yw'r gwerthuswr, rhaid i'r awdurdod anfon copi o'r datganiad gwerthuso at bennaeth unrhyw ysgol lle mae'r athro neu'r athrawes ddigyswllt yn treulio rhan o'i amser gwaith neu o'i hamser gwaith yn rheolaidd.

Apelio

- 43.** – (1) Mae gan athro neu athrawes ddigyswllt hawl i apelio yn erbyn gwerthusiad o dan y Rheoliadau hyn cyn pen 10 diwrnod ysgol ar ôl cael copi o'r datganiad gwerthuso o dan reoliad 42(6).
- (2) Os athro neu athrawes mewn ysgol yw'r gwerthuswr bydd darpariaethau rheoliad 30(2) i (12) yn gymwys, ac eithrio y bydd cyfeiriadau yn y paragraffau hynny at ddatganiad gwerthuso yn gyfeiriadau at ddatganiad a baratoir o dan reoliad 42(4) gan gynnwys at ddibenion rheoliadau 31 a 32 unrhyw sylwadau a ychwanegwyd gan swyddog apêl o dan baragraff (6)(a) o reoliad 30.
- (3) Os yr awdurdod yw'r gwerthuswr gwneir unrhyw apêl yn ysgrifenedig i'r awdurdod yn unol â'r gweithdrefnau apelio sy'n gymwys i'r holl staff ac eithrio fel y gall fod yn anghyson â'r rheoliad hwn.

(4) Rhaid i'r swyddog apêl gynnal a chwblhau adolygiad o'r gwerthusiad cyn pen 10 diwrnod ysgol ar ôl cael y datganiad gwerthuso o dan reoliad 44(2)(b) a rhaid iddo gymryd unrhyw sylwadau a wneir gan yr athro neu'r athrawes ddigyswllt i ystyriaeth.

(5) Caiff y swyddog apêl –

(a) gorchymyn bod y datganiad gwerthuso yn sefyll gyda sylwadau'r swyddog apêl neu hebddynt; neu

(b) diwygio'r datganiad gwerthuso gyda chytundeb y gwerthuswr; neu

(c) gorchymyn bod y datganiad gwerthuso yn cael ei ddileu a gorchymyn gwerthusiad newydd.

(6) Pan fydd gwerthusiad newydd yn cael ei orchymyn o dan baragraff (5)(c) rhaid penodi gwerthuswr newydd yn unol â rheoliad 36 a rhaid i'r swyddog apêl benderfynu pa weithdrefnau gwerthuso y mae'n rhaid eu hailadrodd.

(7) Os yw'n ymddangos i'r swyddog apêl nad oes athro neu athrawes ysgol mewn ysgol lle mae'r athro neu'r athrawes ddigyswllt yn treulio prif ran ei amser gwaith neu ei hamser gwaith sy'n addas i fod yn werthuswr newydd y gellir ei benodi ar gyfer yr athro neu'r athrawes ddigyswllt, rhaid i'r swyddog apêl benodi fel gwerthuswr newydd ar gyfer yr athro neu'r athrawes ddigyswllt aelod o gorff llywodraethu'r ysgol honno (heblaw llywodraethwr sy'n athro neu'n athrawes neu'n aelod arall o staff) neu unrhyw berson arall sy'n addas i reoli ac i adolygu perfformiad yr athro neu'r athrawes ddigyswllt.

(8) Rhaid cwblhau pob gweithdrefn werthuso y penderfynir ei hailadrodd o dan baragraff (6) cyn pen 15 diwrnod ysgol ar ôl dyddiad gorchymyn y swyddog apêl o dan baragraff (5)(c).

(9) Ni chaniateir i'r swyddog apêl –

(a) penderfynu bod amcanion newydd i gael eu cytuno neu eu pennu; na

(b) penderfynu bod yr amcanion y cytunwyd arnynt neu a bennwyd o dan reoliad 39(1) i gael eu diwygio.

(10) Mae'r cyfeiriadau yn y rheoliad hwn ac yn rheoliadau 44 a 45 at ddatganiad gwerthuso yn gyfeiriadau at ddatganiad a baratoir o dan reoliad 42(4), gan gynnwys, yn achos rheoliadau 44 a 45, unrhyw sylwadau a ychwanegir gan swyddog apêl o dan baragraff (5)(a).

Darparu datganiadau gwerthuso a'u cadw

44. – (1) Rhaid i'r gwerthuswr roi copi o'r datganiad gwerthuso –

(a) i'r pennaeth ymhob ysgol lle mae'r athro neu'r athrawes ddigyswllt yn treulio rhan o'i amser gwaith neu o'i hamser gwaith yn rheolaidd; a

(b) i'r awdurdod.

(2) Caiff y personau canlynol wneud cais am gopi o'r datganiad gwerthuso a rhaid i'r awdurdod, os gwneir cais o'r fath, drefnu bod copi o'r datganiad gwerthuso ar gael i'r person hwnnw –

(a) y gwerthuswr;

(b) unrhyw swyddog apêl cyn pen pum diwrnod ysgol ar ôl i'r awdurdod gael hysbysiad apêl o dan reoliad 43, y mae'n rhaid rhoi copi iddo hefyd o'r datganiad amcanion; ac

(c) y Prif Swyddog Addysg neu unrhyw swyddog neu gynghorydd a ddynodir yn benodol gan y Prif Swyddog Addysg i fod yn gyfrifol am gynghori am ddirchafiad athrawon digyswllt, neu am ddefnyddio unrhyw ddisgresiwn ynghylch cyflog, neu am wneud penderfyniadau mewn perthynas â hynny.

(3) Os yw'r athro neu'r athrawes ddigyswllt yn gymwys ar gyfer datblygiad cyflog o dan y Ddogfen, rhaid i'r gwerthuswr roi argymhelliad ynghylch datblygiad cyflog i'r awdurdod, gan roi sylw i ddatganiad gwerthuso'r athro neu'r athrawes ddigyswllt.

(4) Rhaid i'r awdurdod roi copi o'r atodiad i'r datganiad gwerthuso y cyfeirir ato yn rheoliad 42(4) i'r person neu'r personau sy'n gyfrifol am gynllunio hyfforddiant a datblygiad athrawon ysgol yn unrhyw ysgol lle mae'r athro neu'r athrawes ddigyswllt yn treulio rhan o'i amser gwaith neu o'i hamser gwaith yn rheolaidd.

(5) Rhaid i'r awdurdod drefnu bod datganiad amcanion cyfredol athro neu athrawes ddigyswllt ar gael i werthuswr newydd a benodir heblaw ar ddechrau cylch gwerthuso.

(6) Rhaid i ddatganiad gwerthuso athro neu athrawes ddigyswllt gael ei gadw gan yr awdurdod am o leiaf dair blynedd ar ôl i'r datganiad gwerthuso nesaf gael ei gwblhau.

Gwybodaeth o ddatganiadau gwerthuso

45. – (1) Caniateir i wybodaeth berthnasol o ddatganiadau gwerthuso gael ei chymryd i ystyriaeth gan awdurdod, Prif Swyddogion Addysg neu unrhyw swyddogion neu gynghorwyr a ddynodir yn benodol gan Brif Swyddog Addysg o dan reoliad 44(2)(c) wrth iddynt wneud penderfyniadau, ac wrth iddynt gynghori'r rhai sy'n gyfrifol am wneud penderfyniadau, ynghylch dyrchafu, diswyddo neu ddisgyblu athrawon digyswllt neu ynghylch arfer unrhyw ddisgresiwn mewn perthynas â thâl.

(2) Ni fydd gweithdrefnau gwerthuso mewn perthynas ag athro neu athrawes ddigyswllt fel y'u nodir yn y Rheoliadau hyn yn ffurfio unrhyw gamau y mae'n rhaid eu cymryd mewn gweithdrefnau disgyblu neu ddiswyddo a ddygir yn erbyn athro neu athrawes ddigyswllt.

Darpariaeth drosiannol

46. Mae rheoliadau 44 a 45 yn gymwys mewn perthynas â chofnodion gwerthuso a gafodd eu cynhyrchu a'u cadw o dan Reoliadau Gwerthuso Athrawon Ysgol (Cymru) 2002 fel y maent yn gymwys mewn perthynas â datganiadau gwerthuso.

Diwygio Rheoliadau Llywodraethu Ysgolion (Cylch Gwaith) (Cymru) 2000

47. – (1) Yn rheoliad 2(1) hepgorer y diffiniadau o "athro ysgol", "tymor ysgol" a "contract cyfnod byr".

(2) Ar ddiwedd rheoliad 2(2)(a) mewnosoder "a" ac yn rheoliad 2(2)(b) hepgorer "ac".

- (3) Dileer rheoliad 2(2)(c).
- (4) Dileer rheoliad 10.

Leighton Andrews

Y Gweinidog Addysg a Sgiliau, un o Weinidogion Cymru
6 Rhagfyr 2011

YR ATODLEN

Arbedion a Darpariaethau Trosiannol Cyffredinol

Y Cylch Gwerthuso

1. Os oes pennaeth, athro neu athrawes ysgol neu athro neu athrawes ddigyswllt wedi cwblhau cylch gwerthuso o dan ddarpariaethau Rheoliadau 2002, yna rhaid i unrhyw apel yn erbyn y gwerthusiad gael ei gwneud yn unol â'r gweithdrefnau apel a nodwyd yn Rheoliadau 2002.
2. Os oes pennaeth, athro neu athrawes ysgol neu athro neu athrawes ddigyswllt wedi mynd rhan o'r ffordd drwy gylch gwerthuso o dan Rheoliadau 2002 ar y dyddiad y daw'r Rheoliadau hyn i rym, yna (yn ddarostyngedig i baragraff 3) rhaid i'r cylch gwerthuso hwnnw barhau o dan ddarpariaethau Rheoliadau 2002 hyd nes y bydd cylch gwerthuso newydd yn dechrau o dan y Rheoliadau hyn.
3. Os oes pennaeth, athro neu athrawes ysgol neu athro neu athrawes ddigyswllt wedi cwblhau cylch gwerthuso neu wedi mynd rhan o'r ffordd drwy gylch gwerthuso o dan ddarpariaethau Rheoliadau 2002, caniateir i unrhyw gyfarfod adolygu gwerthusiad mewn perthynas â'r cylch gwerthuso hwnnw sydd i'w gynnal o dan ddarpariaethau Rheoliadau 2002 ar ôl y dyddiad y daw'r Rheoliadau hyn i rym gael ei gynnal gan y gwerthuswr neu'r gwerthuswyr (fel y bo'n briodol) a benodwyd ar gyfer y pennaeth, yr athro neu'r athrawes ysgol neu'r athro neu'r athrawes ddigyswllt o dan ddarpariaethau'r Rheoliadau hyn ("y gwerthuswyr newydd"), os bydd y gwerthuswyr newydd yn dewis gwneud hynny. Caniateir i'r cyfarfod adolygu gwerthusiad hwnnw fod yn ddarostyngedig i ddarpariaethau rheoliadau 15(5), 29(5) a 42(5) (fel y bo'n briodol) yn ôl disgrisiwn y gwerthuswyr newydd.

ATODIAD 2

POLISI RHEOLI PERFFORMIAD ENGHREIFFTOL

Corff Llywodraethu'r [] Fe wnaeth yr ysgol fabwysiadu'r polisi rheoli perfformiad hwn ar [].

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1. YNGL N Â'R POLISI HWN

Mae'r polisi hwn yn pennu'r trefniadau rheoli perfformiad ar gyfer pennaeth ac athrawon [nodwch enw'r ysgol]. Mae'r corff llywodraethu, y pennaeth a'r awdurdod lleol wedi cytuno arno ac mae'n dilyn ymgynghoriad gyda phob aelod o'r staff ac undebau llafur cydnabyddedig. Mae'n disgrifio'r pwrpas, y gweithdrefnau, y rolau a'r cyfrifoldebau a fydd yn sicrhau bod trefniadau rheoli perfformiad yr ysgol yn cyfrannu at ddatblygiad proffesiynol ei staff ac at gyflawni amcanion datblygu ehangach ar gyfer yr ysgol a'i dysgwyr.

Bydd y polisi yn cael ei adolygu yn flynyddol a bydd unrhyw newidiadau angenrheidiol yn destun ymgynghoriad pellach gydag aelodau o'r staff. Cafodd y polisi ei adolygu ddiwethaf ar **[nodwch ddyddiad yr adolygiad diwethaf]**.

Bydd y pennaeth yn darparu adroddiad ysgrifenedig blynyddol ar weithrediad ac effeithiolrwydd y polisi hwn i'r corff llywodraethu, gan gynnwys yr anghenion hyfforddi a datblygu sy'n codi o'r broses rheoli perfformiad.

Mae'r polisi hwn wedi cael ei greu gan roi sylw dyledus i reoliadau gwerthuso presennol a'r canllawiau ategol a gyhoeddwyd gan Lywodraeth Cymru. Mae'r rhain ar gael yn:

Rheoliadau

www.legislation.gov.uk/wsi/2011/2940/contents/made.

Canllawiau

<http://learning.wales.gov.uk/yourcareer/performance/management/pmguidance/?lang=cy>.

Nid yw'r polisi hwn yn berthnasol i:

- athrawon newydd gymhwyso sy'n cael eu hyfforddiant cynefino statudol sydd wedi'u heithrio rhag trefniadau rheoli perfformiad;
- athrawon sydd wedi'u cyflogi am gyfnod sy'n llai na thymor ysgol.

¹ Dyma Anecs NASUWT

2. EGWYDDORION SY’N SAIL I REOLI PERFFORMIAD

Mae rheoli perfformiad yn ddull o wella ysgol sy’n gwbl gynhwysol. Mae’n gosod fframwaith ar gyfer athrawon ac arweinwyr ysgolion i gytuno ar flaenoriaethau ac amcanion a’u hadolygu yng nghyd-destun cynllun gwella ysgolion Mae rheoli perfformiad yn darparu’r cyfle i ymrwymo ar y cyd i gyflawni safonau uchel. Mae’n helpu i ganolbwyntio’r sylw ar addysgu mwy effeithiol ac, felly, yn rhoi budd i ddisgyblion, athrawon a’r ysgol. Mae’n golygu darparu hyfforddiant priodol ac effeithiol, arweiniad a chyfleoedd datblygu i unigolion i sicrhau boddhad yn y swydd, lefel uchel o arbenigedd a dilyniant gyrfa.

Bydd yr egwyddorion canlynol yn sail i’n trefniadau rheoli perfformiad.

- Ymddiriedaeth, cyfrinachedd a deialog proffesiynol rhwng y gwerthuswr a’r gwerthusai.
- Cysondeb, fel bod pob aelod o’r staff yn cael ei drin yn deg.
- Cydnabod cryfderau ac ymrwymiad i rannu ymarfer effeithiol.
- Ymrwymiad i ddarparu adborth adeiladol ar berfformiad.
- Trwyadl ac yn seiliedig ar dystiolaeth.
- Ymrwymiad ar y cyd i fodloni cynllun gwella ysgolion a blaenoriaethau cenedlaethol priodol.
- Bwriedir i’r Polisi fod yn ddatblygiadol ac yn gefnogol.
- Bydd y Polisi yn ganolog i gynlluniau gwella’r ysgol a hunanwerthuso.

Mae’r Corff Llywodraethu yn cydnabod bod gan y pennaeth a’r athrawon hawl i gydbwysedd rhwng bywyd a gwaith fel a nodir yn y Ddogfen Cyflog ac Amodau Athrawon. O ganlyniad, mae’r polisi wedi cael asesiad effaith llwyth gwaith (gweler Anecs A) a bydd yr ysgol yn trefnu’r holl weithgareddau rheoli perfformiad o fewn yr amser cyfeiriedig ond nid o fewn yr amser cynllunio, paratoi ac asesu.

Mae’r Corff Llywodraethu wedi ymrwymo i sicrhau bod y broses rheoli perfformiad yn deg ac yn anwahaniaethol.

3. SAFONAU PROFFESIYNOL

Mae gofyn i athrawon fodloni’r Safonau ar gyfer Athrawon sy’n Ymarfer ar ddiwedd eu cyfnod cynefino ac mae’n rhaid iddynt barhau i’w bodloni drwy gydol eu gyrfa. Mae gofyn i’r pennaeth fodloni’r Safonau Arweinyddiaeth. Efallai bydd ymarferwyr eraill yn dewis defnyddio’r Safonau Arweinyddiaeth ar gyfer eu datblygiad arweinyddiaeth lle caiff hwn ei nodi fel blaenoriaeth ar gyfer eu datblygiad proffesiynol.

Dylai’r safonau proffesiynol gael eu hystyried yn eu cyfanrwydd i roi cefndir i drafodaeth ac i helpu ymarferwyr i nodi meysydd i’w datblygu ymhellach www.wales.gov.uk/topics/educationandskills/publications/circulars/practitioners/?lang=cy.

4. AMSERU’R CYLCH RHEOLI PERFFORMIAD

Bydd cylch rheoli perfformiad blynyddol yr ysgol yn cychwyn ar [nodwch y dyddiad] ac wedi’i gwblhau erbyn [nodwch y dyddiad].

Mae’r cylch gwerthuso wedi cael ei amseru i gysylltu â chylch cynllunio blynyddol yr ysgol.

5. PENODI GWERTHUSWYR

Bydd pennaeth yn penodi gwerthuswr ar gyfer pob athro yn yr ysgol. Fel arfer, y gwerthuswr fyddai rheolwr llinell y sawl sy’n gwerthuso. Bydd y gwerthuswr yn rhedeg pob agwedd o’r adolygiad, gan gynnwys argymhellion cyflog ar gyfer athrawon sy’n gymwys.

Mae gan athrawon a’r pennaeth yr hawl i wrthwynebu gwerthuswr ar sail cysondeb a thegwch.

Bydd gwerthusiad y pennaeth yn cael ei gynnal gan banel sy’n cynnwys:

- o leiaf dau lywodraethwr a benodwyd gan y corff llywodraethu;
- un neu ddau o gynrychiolwyr a benodwyd gan yr awdurdod lleol.

6. Y CYNLLUN RHEOLI PERFFORMIAD

Bydd rheoli perfformiad yn gylch parhaus drwy gydol y flwyddyn sy’n cynnwys tri cham o gynllunio, monitro perfformiad ac adolygu perfformiad.

Bydd y gwerthuswr yn cwrdd â’r athro/pennaeth ar ddechrau’r cylch i gynllunio a pharatoi ar gyfer y gwerthusiad blynyddol. Efallai bydd y cyfarfod hwn yn cael ei gyfuno â’r cyfarfod adolygiad a gynhaliwyd ar ddiwedd y cylch blaenorol.

Ni fydd gan yr holl athrawon, gan gynnwys y pennaeth, fwy na thri amcan.

Bydd y cyfarfod yn ceisio cytuno ar y canlynol:

- Yr amcanion ar gyfer y cylch a gweithgareddau datblygu proffesiynol i gefnogi cyflawni'r amcanion.
- Bydd y tri amcan yn ymwneud ag amcan ysgol gyfan a gytunwyd arno ac amcan yr adran sy'n seiliedig ar y Cynllun Gwella Ysgolion, ac amcan sy'n adlewyrchu dyheadau datblygiad proffesiynol yr athro.
- Bydd yr amcanion yn heriol, yn realistig, yn gyraeddadwy, yn gyfyngedig o ran amser, yn deg ac yn gyfiawn mewn perthynas ag athrawon sydd â rolau, dyletswyddau a phrofiadau tebyg.
- Bydd yr amcanion y cytunwyd arnynt yn ystyried yr hyn y gellir ei ddisgwyl yn rhesymol gan unrhyw athro neu bennaeth wrth ystyried dymunoldeb y gwerthusai i gyflawni cydbwysedd boddhaol rhwng bywyd a gwaith.
- Gall amcanion gael eu hadolygu gan y gwerthuswr mewn amgylchiadau eithriadol a gall y rhesymau gael eu cofnodi. Yn ogystal, gall gwrthwynebiadau gael eu cofnodi gan y gwerthusai.
- Bydd cofnod o'r cyfarfod cynllunio yn cael ei gadw gan y gwerthuswr a'r gwerthusai (gweler Anecs B).
- Nid oes rhaid trefnu cyfarfodydd adolygu ffurfiol yn ystod y cylch ond bydd trafodaethau anffurfiol efallai'n cael eu cynnal a dylid cytuno arnynt ar ddechrau'r cyfarfod cynllunio. Efallai byddant yn cyd-fynd â'r adborth a geir wrth arsylwi gwersi a dylid cadw cofnod ysgrifenedig.

Gweithdrefnau Monitro

Mae'r gweithdrefnau monitro yn cynnwys trefniadau ar gyfer arsylwi addysgu fel a ganlyn:

- Mae gofyn i'r gwerthuswr arsylwi'r gwerthusai'n addysgu o leiaf unwaith yn ystod y cylch. Er nad oes gofyniad uwch, dim ond unwaith y tymor y bydd gwers yn cael ei harsylwi fel arfer, ac ni fydd yn cymryd mwy nag awr. Bydd ffocws ac amser yr arsylwi yn cael eu cytuno arnynt a'u cofnodi yn y cyfarfod cynllunio.
- Yn dilyn trafodaeth yn ystod y cylch gwerthuso, bydd y gwerthusai a'r gwerthuswr efallai yn cytuno i ailedrych ar y nifer o weithiau y mae gwersi yn cael eu harsylwi er mwyn helpu i fodloni unrhyw amcanion. Bydd newidiadau o'r fath yn cael eu cofnodi'n ffurfiol yn y ddogfennaeth gwerthuso ac yn cael ei lofnodi gan y gwerthusai a'r gwerthuswr.
- Bydd protocol arsylwi yn yr ystafell ddosbarth a gytunwyd arno yn cefnogi'r broses fonitro (gweler Anecs C).
- Dim ond y rheini sydd â Statws Athro Cymwysedig a gaiff arsylwi yn yr ystafell ddosbarth. Rhoddir cofnod o'r wers a gafodd ei harsylwi i'r gwerthusai (gweler Anecs D).
- Dim ond gwerthuswyr fel arfer a fydd yn arsylwi gwersi, ac mae'n rhaid iddynt arsylwi'r gwerthusai o leiaf unwaith. Fodd bynnag, efallai y cytunir yn y cyfarfod cynllunio y bydd ychydig o'r gwaith arsylwi yn cael ei wneud gan berson nad yw'n werthuswr.
- Pan fydd person heblaw'r gwerthuswr yn arsylwi, mae'n rhaid rhoi cofnod o'r wers a gafodd ei harsylwi i'r gwerthuswr a'r gwerthusai.
- Dewisir y gwersi a gaiff eu harsylwi yn deg er mwyn adlewyrchu'r ystod o waith a wneir gan y gwerthusai.
- Bydd y gwerthuswr hefyd yn ystyried effeithiau amgylchiadau'r gwerthusai, gan gynnwys unrhyw anabledd, wrth gytuno ar amcanion. Er enghraifft, efallai bydd hyn yn cynnwys addasiad rhesymol er mwyn caniatáu ychydig yn fwy o amser na'r arfer i unigolyn gwblhau tasg.
- Pan fydd gwerthusai yn dychwelyd ar ôl cyfnod hir o absenoldeb, mae'n bosib addasu amcanion i'w alluogi i ailaddasu i'w amgylchedd gwaith.
- Bydd yr holl waith o arsylwi gwersi beirniadol, fel y cyfeirir ato yng nghanllawiau Llywodraeth Cymru ar arsylwi (gweler Anecs G), yn cael ei gynnal drwy ffordd arall o reoli perfformiad heblaw arolygiad Estyn, neu gan Estyn mewn amgylchiadau lle bydd adroddiadau arolygu'n categoreiddio'r ysgol fel un sydd angen ei gwella'n sylweddol neu fesuriadau arbennig, neu athro'n wynebu gweithdrefnau medrusrwydd, neu athro ar gyfnod cynefino neu drwy asesiad y rhaglen athrawon graddedig.
- Yn achos y cyfarfod cynllunio, ni fydd unrhyw wybodaeth yn cael ei defnyddio gan berson arall, un ai'n ysgrifenedig neu ar lafar, heb ganiatâd y gwerthusai.

Yn achos cynllun perfformiad y pennaeth yn unig, bydd cadeirydd y corff llywodraethu yn darparu copi ar gais o amcanion y pennaeth i Estyn.

Bydd y trefniadau ar gyfer monitro perfformiad yn erbyn yr amcanion, gan gynnwys y defnydd o arsylwi, yn cael eu penderfynu yn ystod y cyfarfod cynllunio ac yn cael eu cofnodi gan y gwerthuswyr.

Bydd y gwerthusai a'r gwerthuswr yn adolygu'r cynnydd drwy gydol y cylch, gan gynnwys y defnydd o drafodaethau anffurfiol.

Mae gofyn i werthuswyr gadw cofnod ymarfer, adolygu a datblygu cyfredol yn ystod y cylch gwerthuso.

Nod y cofnod Ymarfer, Adolygu a Datblygu yw helpu'r rhai sy'n cael eu gwerthuso i wneud y canlynol:

- bodloni gofynion y rheoliadau gwerthuso i gadw cofnod cyfredol:
 - o o'u hasesiad eu hunain o'u perfformiad yn unol â'u hamcanion rheoli perfformiad;
 - o y datblygiad proffesiynol a wneir, neu'r gefnogaeth arall a ddarperir, a sut mae hyn yn cyfrannu at gyflawni amcanion;
 - o unrhyw ffactorau y mae'r ymarferwyr yn ystyried eu bod yn effeithio ar berfformiad yn unol â'r amcanion;
- darparu ffocws ar gyfer trafodaeth yn y cyfarfodydd adolygu a gellir ei drafod yn anffurfiol yn ystod y cylch ac yn y cyfarfod cynllunio ar gyfer y cylch nesaf.

Cofnod personol y gwerthusai yw'r cofnod Ymarfer, Adolygu a Datblygu, ond bydd angen ei ddefnyddio mewn cyfarfodydd adolygu a dylai fod yn sail i'r cyfarfod cynllunio ar gyfer y cylch nesaf.

Ni fydd y cofnod Ymarfer, Adolygu a Datblygu yn rhan o'r datganiad gwerthuso.

Dylai'r cofnod Ymarfer, Adolygu a Datblygu fod yn ddogfen fer a chryno (gweler Anecs E).

7. Y CYFARFOD ADOLYGU

Ar ddiwedd y cylch rheoli perfformiad, bydd cyfarfod adolygu ffurfiol yn cael ei gynnal lle bydd y gwerthuswr a'r gwerthusai yn trafod cyflawniadau, unrhyw feysydd i'w gwella a gweithgareddau datblygiad proffesiynol. Gan ddeall bod y cyfarfod cynllunio yn broses ar wahân, gellir cyfuno'r cyfarfod hwn â chyfarfod cynllunio'r cylch blynyddol nesaf.

Bydd y cofnod Ymarfer, Datblygu ac Adolygu yn darparu ffocws ar gyfer y cyfarfod adolygu.

Pwrpas y cyfarfod adolygu fydd:

- asesu i ba raddau y mae'r gwerthusai wedi cyflawni ei amcanion;
- penderfynu a yw'r perfformiad wedi bod yn llwyddiannus ar y cyfan o ran cadarnhau bod y gwerthusai yn parhau i fodloni'r safonau proffesiynol perthnasol;
- os bydd angen, nodi'r angen ar gyfer cymorth, hyfforddiant neu ddatblygiad ychwanegol, a sut gellir cyflawni hyn.

Bydd unrhyw gynnydd da tuag at gyflawni amcan heriol yn cael ei asesu'n ffurfiol.

Ni fydd unrhyw wybodaeth yn cael ei defnyddio gan berson arall, un ai'n ysgrifenedig neu ar lafar, heb ganiatâd y gwerthusai.

8. Y DATGANIAD AM YR ADOLYGIAD GWERTHUSO

O fewn deg diwrnod ysgol o'r cyfarfod adolygu, bydd y gwerthuswr yn darparu datganiad ysgrifenedig i'r gwerthusai o'r prif bwyntiau a wnaed yn y cyfarfod adolygu a'r casgliadau y daethpwyd iddynt. Atodir crynodeb o anghenion datblygu proffesiynol i'r datganiad a syniad ynghylch sut y gellir eu cyflawni.

Bydd y gwerthuswr yn ceisio cytuno ar eiriad terfynol y datganiad gwerthuso gyda'r gwerthusai.

Gall y gwerthusai, o fewn deg diwrnod ysgol o gael y datganiad gwerthuso terfynol, ychwanegu sylwadau ysgrifenedig. Yna bydd y sylwadau hyn yn rhan o'r datganiad.

Ni ddylai gwerthuswr gael gwybodaeth gan unrhyw berson arall, boed hynny ar lafar neu ar bapur, sy'n ymwneud â pherfformiad y gwerthusai heb ganiatâd y gwerthusai ei hun.

Mae'r datganiad gwerthuso a'r atodiad yn ddogfennau cyfrinachol ac mae'n rhaid eu cadw mewn man diogel. Dilyni'r darpariaethau'r Ddeddf Diogelu Data bob amser.

9. ARGYMHELLION DATBLYGIAD CYFLOG

Rhaid i'r argymhellion datblygiad cyflog gael eu gwneud gan y gwerthuswr neu athrawon cymwys o ganlyniad i'w hadolygiad rheoli perfformiad pan fydd athrawon wedi cyflawni neu wedi gwneud cynnydd sylweddol tuag at gyflawni eu hamcanion (gweler Anecs H). Yr adolygiad perfformio ar ddiwedd y cylch yw'r unig dystiolaeth y mae gofyn i athrawon ei chael er mwyn cefnogi datblygiad cyflog. Fodd bynnag, pe bai athrawon yn dymuno cyflwyno dystiolaeth ychwanegol, gallant wneud hynny, ond ni fydd gofyn iddynt gyflwyno dystiolaeth ychwanegol ac ni chânt eu disgyblu os dewisant beidio â gwneud hynny.

10. APELIADAU

Gall y gwerthusai apelio yn erbyn y datganiad gwerthuso o fewn deg diwrnod ysgol o gael y datganiad gwerthuso. Bydd swyddog apelïadau neu, yn achos y pennaeth, bydd panel apelïadau'n cael ei benodi i gynnal adolygiad.

Bydd pob apêl yn cael ei chynnal yn unol â'r Rheoliadau Gwerthuso presennol a'r cyfarwyddyd Llywodraeth Cymru cysylltiedig.

I grynhoi, bydd y broses apelio yn cynnwys y camau canlynol

- Bydd y gwerthusai yn cyflwyno apêl i'r corff llywodraethu.
- Bydd swyddog/panel apelïadau yn cael ei benodi.
- Bydd copi o'r datganiad gwerthuso yn cael ei roi i'r swyddog/panel apelïadau o fewn pum niwrnod ysgol o gael yr hysbysiad am apêl.
- Bydd adolygiad apelïadau yn cael ei gynnal o fewn deg diwrnod ysgol o gael y datganiad gwerthuso.
- Rhaid i'r swyddog/panel apelïadau ystyried unrhyw sylwadau a wnaed gan y gwerthusai.
- Yna gall y swyddog/panel benderfynu:

- o bod y gwerthusiad wedi cael ei gynnal yn foddhaol
- o gyda chytundeb y gwerthuswr, diwygio'r datganiad gwerthuso;
- o gorchymyn y dylid cynnal gwerthusiad newydd.
- Os penderfynir ar werthusiad newydd, ni ddylai'r broses gymryd mwy na phymtheg diwrnod ysgol.
- Ni all y swyddog/panel apeliadau benderfynu ar y canlynol:
 - o gosod amcanion newydd
 - o diwygio'r amcanion sydd eisoes yn bodoli.

11. Y DEFNYDD O DDATGANIADAU GWERTHUSO

Mae'r broses rheoli perfformiad gyfan, y datganiad o amcanion a'r datganiad gwerthuso yn ddogfennau personol a chyfrinachol a chânt eu cadw mewn man diogel.

Athrawon

Rhaid i'r gwerthuswr roi copi o'r datganiad gwerthuso i'r gwerthusai ac i'r pennaeth. Yn ei dro, bydd y pennaeth yn darparu copi ar gais i'r canlynol:

- y gwerthuswr;
- y swyddog apeliadau;
- unrhyw lywodraethwyr sy'n gyfrifol am wneud penderfyniadau neu roi cyngor ar faterion sy'n ymwneud â chyflog.

Pan fydd y gwerthusai yn gymwys i gael datblygiad cyflog yn ôl y Ddogfen Cyflog ac Amodau Athrawon Ysgol, bydd y gwerthuswr yn darparu argymhelliad ar ddatblygiad cyflog i'r pennaeth, yn unol â darpariaethau'r Ddogfen Cyflog ac Amodau Athrawon Ysgol (gweler Anecs H).

Bydd y pennaeth yn darparu copi o'r anecs i'r datganiad gwerthuso yn nodi manylion yr anghenion datblygu proffesiynol i'r person sydd â chyfrifoldeb ysgol gyfan dros y ddarpariaeth gynllunio ar gyfer hyfforddi a datblygu.

Bydd y datganiad gwerthuso yn cael ei gadw gan y pennaeth mewn man diogel am o leiaf chwe blynedd ar ôl i'r datganiad gwerthuso nesaf gael ei gwblhau. Mae hyd yr amser hwn yn unol â'r trefniadau trothwy.

Pennaeth

Yn achos rheoli perfformiad y pennaeth, bydd y gwerthuswyr yn rhoi copïau o'r datganiad gwerthuso i'r pennaeth, i gadeirydd y corff llywodraethu ac i'r prif swyddog addysg. Bydd gwerthuswyr hefyd yn darparu copi ar gais i unrhyw lywodraethwyr sy'n gyfrifol am wneud penderfyniadau neu roi cyngor ar faterion sy'n ymwneud â chyflog.

Bydd cadeirydd y corff llywodraethu hefyd yn darparu copi o ddatganiad gwerthuso y pennaeth ar gais i'r canlynol:

- unrhyw swyddog a ddynodir yn gyfrifol am berfformiad y pennaethiaid gan y prif swyddog addysg;
- unrhyw swyddog apeliadau.

Bydd cadeirydd y corff llywodraethu yn darparu copi o'r anecs i'r datganiad gwerthuso yn nodi manylion yr anghenion datblygu proffesiynol i'r person sydd â chyfrifoldeb ysgol gyfan dros y ddarpariaeth gynllunio ar gyfer hyfforddi a datblygu.

Bydd y datganiad gwerthuso yn cael ei gadw gan y corff llywodraethu mewn man diogel am o leiaf chwe blynedd ar ôl i'r datganiad gwerthuso nesaf gael ei gwblhau. Bydd y pennaeth hefyd yn cadw copi o'r datganiad gwerthuso am yr un cyfnod o amser.

Gall gwybodaeth o ddatganiad gwerthuso'r pennaeth gael ei hystyried gan y corff llywodraethu (neu ei bwyllgorau) o ran materion sy'n ymwneud â dyrchafu, disgyblu neu ddiswyddo pennaeth neu sy'n ymwneud ag unrhyw ddisgresiwn ynglŷn â chyflog.

12. ATAL TANGYFLAWNI

Bydd trefniadau rheoli llinell, gan gynnwys y defnydd effeithiol o'r gweithdrefnau a amlinellir yn y polisi hwn, yn helpu i atal tangyflawni drwy ganfod, cefnogi ac ymyrryd yn gynnar.

Os bydd perfformiad athro yn achosi pryder difrifol a bod tystiolaeth yn cael ei darparu i ddangos hyn, yna dylid rhoi cam anffurfiol y weithdrefn medrusrwydd ar waith.

Gall gwybodaeth o'r datganiad gwerthuso gael ei hystyried wrth wneud penderfyniadau ynglŷn â materion sy'n ymwneud â chyflog, dyrchafu, diswyddo neu ddisgyblu. Fodd bynnag, nid yw'r gweithdrefnau rheoli perfformiad a nodir yn y polisi hwn, gan gynnwys y cyfarfod adolygu a'r datganiad gwerthuso, yn rhan o unrhyw weithdrefnau sy'n ymwneud â disgyblu, cymhwysedd neu fedrusrwydd.

13. HYFFORDDIANT A CHYMORTH

Bydd rhaglen datblygiad proffesiynol parhaus yr ysgol yn seiliedig ar yr anghenion hyfforddi a datblygu a nodir yn anecs hyfforddiant datganiadau cynllunio ac adolygu'r gwerthusai.

Bydd y corff llywodraethu'n sicrhau wrth gynllunio'r gyllideb, cyn belled ag y bo modd, bod yr adnoddau priodol ar gael ar gyfer unrhyw hyfforddiant a chefnogaeth y cytunwyd arnynt ar gyfer y rhai sy'n cael eu gwerthuso.

Bydd cofnod o anghenion hyfforddi a datblygu'r athrawon, gan gynnwys yr achosion lle nad oedd yn bosib darparu unrhyw ddatblygiad proffesiynol parhaus, yn rhan o adroddiad blynyddol y pennaeth i'r corff llywodraethu ynghylch y ffordd y mae'r broses o reoli perfformiad yn cael ei rhedeg yn yr ysgol.

Ni fydd y rhai sy'n cael eu gwerthuso yn atebol am fethu gwneud cynnydd da tuag at gyflawni eu hamcanion rheoli perfformiad os na chafodd y gefnogaeth a gofnodwyd yn eu datganiad cynllunio ei darparu.

Bydd pob gwerthuswr yn cael hyfforddiant i'w alluogi i gyflawni pob agwedd ar ei rôl yn briodol ac yn effeithiol.

14. MONITRO A GWERTHUSO

Bydd y corff llywodraethu a'r pennaeth yn monitro'r ffordd y mae trefniadau gwerthuso'r ysgol yn cael eu rhoi ar waith a'u heffeithiolrwydd.

Bydd y pennaeth yn darparu adroddiad ysgrifenedig i'r corff llywodraethu ar y ffordd y mae polisïau gwerthuso a medrusrwydd yr ysgol yn cael eu rhoi ar waith bob blwyddyn. Ni fydd yr adroddiad yn enwi unrhyw unigolyn. Bydd yr adroddiad yn cynnwys asesiad o effaith y polisïau hyn ar: hil, rhyw, cyfeiriadedd rhywiol, anabledd, crefydd a chredoau, oed, statws rhan-amser a mamolaeth a beichiogrwydd.

Bydd y pennaeth yn rhoi gwybod a oes unrhyw apeliadau neu sylwadau unigol neu ar y cyd wedi cael eu gwneud ynglŷn â gwahaniaethu honedig.

ANECs A: RHESTR WIRIO ASESU EFFAITH LLWYTH GWAITH

Mae'r polisi hwn wedi cael ei asesu yn unol â'r system y cytunwyd arni i fonitro llwyth gwaith ac oriau gwaith yr athrawon a'r pennaeth.

☐

Mae'r polisi hwn yn cydymffurfio ac yn gyson â hawliau contract yr athrawon.

☐

Cafodd y polisi hwn ac unrhyw weithdrefnau cysylltiedig eu cyflwyno yn dilyn ymgynghoriad llawn ag undebau llafur yr athrawon.

☐

Mae'r polisi hwn ac unrhyw weithdrefnau cysylltiedig yn cynnwys datganiad penodol ynglŷn ag effaith llwyth gwaith.

☐

Ni fydd y polisi hwn nac unrhyw weithdrefnau cysylltiedig yn cynnwys oriau gwaith ychwanegol.

☐

Nid yw'r polisi hwn yn dyblygu unrhyw bolisi arall sydd eisoes yn bodoli.

☐

Mae'r adnoddau sy'n angenrheidiol ar gyfer cefnogi'r polisi hwn, gan gynnwys amser staff, unrhyw staff ychwanegol a chyfarpar priodol, wedi cael eu nodi.

☐

Ni fydd gweithredu'r polisi hwn yn golygu y bydd unrhyw gyfarfodydd/gweithgareddau ychwanegol, na chawsant eu nodi ar galendr yr ysgol, yn cael eu cyhoeddi a'u hadolygu mewn ymgynghoriad ag undebau llafur athrawon.

☐

Bydd pob aelod o'r staff (gan gynnwys y pennaeth) yn cael ei hyfforddi i sicrhau bod y polisi hwn ac unrhyw weithdrefnau cysylltiedig yn cael eu rhoi ar waith heb gynyddu'r baich gwaith.

☐

Bydd y polisi hwn ac unrhyw weithdrefnau cysylltiedig yn cael eu hadolygu bob blwyddyn i sicrhau nad oes baich gwaith wedi cael ei ychwanegu dros amser.

☐

AN ECS B: TEMPLED COFNODI CYNLLUNIO

Enw'r Gwerthusai: _____

Enw'r Gwerthuswr: _____

Dyddiad y cyfarfod: _____

Amcanion:

1.

2.

3.

Datblygiad a hyfforddiant: _____

Adnoddau i ategu'r amcanion: _____

Y drefn ar gyfer monitro cynnydd: _____

Sylwadau'r arfarnai:

Arfarnai (llofnod): _____

Arfarnwr (llofnod): _____

Dyddiad: _____

ANECs C: PROTOCOL ARSYLWI GWERSI

Cyflwyniad

Mae'r corff llywodraethu wedi ymrwymo i sicrhau bod arsylwi gwersi yn ddatblygiadol ac yn gefnogol ac y bydd y rheini sy'n ymwneud â'r broses yn gwneud y canlynol:

- cyflawni'r rôl yn broffesiynol, yn onest ac yn gwrtais;
- ceisio cyrraedd cytundeb ymlaen llaw ynglŷn â sut dylid arsylwi gwersi;
- gwerthuso'n wrthrychol;
- adrodd yn ôl yn gywir ac yn deg;
- parchu cyfrinachedd y wybodaeth a gafwyd.

Cynllunio a pharatoi ar gyfer arsylwi gwersi

Yn unol ag ymrwymiad corff llywodraethu'r ysgol i arsylwi datblygiadol a chefnogol ar wersi, bydd y pennaeth yn gwneud y canlynol:

- ymgynghori ag athrawon ynglŷn â phatrwm arsylwi gwersi y gallant ei ddisgwyl bob blwyddyn a cheisio cytundeb ag athrawon a chynrychiolwyr undebau ynglŷn â'r trefniadau hyn;
- sicrhau bod y rheini sy'n cael eu harsylwi at bob diben yn cael eu hysbysu o leiaf pum niwrnod ymlaen llaw;
- trefnu, cyn belled ag y bo modd, bod yr holl waith arsylwi yn cael ei gynnal ar amser y cytunwyd arno gan y gwerthusai a'r sawl sy'n arsylwi;
- sicrhau bod cyfnod rhesymol rhwng y sesiynau arsylwi gwersi, beth bynnag yw pwrpas y sesiynau arsylwi hynny.
- Sicrhau mai dim ond unigolion sydd â statws athro cymwysedig a'r hyfforddiant priodol a'r sgiliau proffesiynol i arsylwi ac i ddarparu cymorth ac adborth adeiladol ar bapur ac ar lafar, yng nghyd-destun deialog proffesiynol rhwng cydweithwyr, a gaiff arsylwi yn yr ystafell ddosbarth.

Bydd cynllunio ar gyfer y sesiwn arsylwi yn digwydd ar ddechrau'r cylch rheoli gwerthuso/perfformiad a bydd yn cynnwys manylion y canlynol:

- faint o arsylwi;
- ffocws yr arsylwi;
- hyd yr arsylwi;
- pryd yn ystod y cylch rheoli perfformiad y bydd gwers yn cael ei harsylwi; a
- phwy fydd yn arsylwi.

Er mwyn arsylwi gwersi cyn lleied â phosib, a chefnogi ymdrechion i gyflawni ymrwymiad yr ysgol i symleiddio'r broses casglu data gan leihau biwrocratiaeth a'r baich gwaith ar y rhai sy'n cael eu gwerthuso, bydd y wybodaeth a gesglir yn cael ei defnyddio at sawl diben, gan gynnwys bod yn sail i strategaethau hunanwerthuso'r ysgol a strategaethau gwella'r ysgol. Bydd hyn yn galluogi'r pennaeth, wrth gyflawni ei ddyletswyddau, i werthuso safonau'r addysgu a'r dysgu, ac i sicrhau bod safonau perfformio priodol yn cael eu sefydlu a'u cynnal.

Cyn i unrhyw wers gael ei harsylwi, bydd cyfle i'r gwerthuswr a'r gwerthusai gyfarfod o fewn oriau cyfeiriedig er mwyn trafod cyd-destun y wers sydd i'w harsylwi.

Cynnal sesiwn arsylwi

Bydd cyfyngiad o dair sesiwn arsylwi at bob diben. Ni fydd mwy na chyfanswm o dair awr y flwyddyn yn cael ei threulio yn arsylwi o dan unrhyw amgylchiadau ac mae'n rhaid cytuno ar y ffocws a'r amseru yng nghofnod cynllunio rheoli perfformiad y gwerthusai.

Ni fydd disgyblion na llywodraethwyr yn arsylwi (er, drwy gytundeb ymlaen llaw â'r athro dan sylw, gall llywodraethwyr ymweld â gwers i ddod yn gyfarwydd â'u hardal gyswllt).

Adborth a chofnodion

Bydd adborth yn cael ei roi ar lafar cyn gynted â phosib ar ôl arsylwi gwers a dim hwyrach nac ar ddiwedd y diwrnod gwaith canlynol. Caiff ei roi yn ystod oriau cyfeiriedig mewn amgylchedd priodol a phreifat. Bydd amser ar gyfer paratoi a rhoi adborth ynghylch arsylwi gwersi at ddibenion rheoli/gwerthuso perfformiad ar gael, yn ogystal ag amser i gynllunio, paratoi ac asesu.

Bydd adborth ysgrifenedig yn cael ei ddarparu o fewn pum niwrnod i'r sesiwn arsylwi. Os bydd materion yn codi o sesiwn arsylwi nad oedd yn rhan o ffocws yr arsylwi fel y cofnodir yn y datganiad cynllunio ac adolygu, dylid cynnwys y rhain hefyd yn yr adborth ysgrifenedig a thrafod y cam priodol â'r gwerthusai.

Bydd cofnod ysgrifenedig o'r adborth yn cynnwys dyddiad y sesiwn arsylwi, y wers a gafodd ei harsylwi a hyd y sesiwn arsylwi. Mae gan y gwerthusai hawl i ychwanegu sylwadau ysgrifenedig ar y ddogfen adborth. Ni fydd nodiadau ysgrifenedig a ychwanegir at yr adborth ysgrifenedig a sylwadau'r gwerthusai yn cael eu cadw. Bydd y gwerthuswr yn cael digon o amser mewn diwrnod ysgol i ysgrifennu'r casgliadau y cytunwyd arnynt â'r gwerthusai ynglŷn â chanlyniadau'r sesiwn arsylwi yn yr ystafell ddosbarth.

Bydd athrawon yn cael gweld pob adroddiad ysgrifenedig ynghylch yr arsylwi ar ôl eu gwersi, ac, os gofynnant, bydd copïau yn cael eu darparu.

Gweithdrefnau medrusrwydd ffurfiol ac arsylwi gwersi

Ar gyfer athrawon ar weithdrefn medrusrwydd ffurfiol, bydd nifer penodol o sesiynau arsylwi gydag adborth strwythuredig ar bapur ac ar lafar yn rhan bwysig o'r gefnogaeth a gynigir i'r athro. Bydd y nifer o sesiynau arsylwi yn yr ystafell ddosbarth yn cael eu trafod gyda'r athro a chynrychiolwr yr undeb sy'n ei gefnogi a'i gynghori yn ystod y broses ffurfiol.

D.S: Mae'n rhaid cymhwyso'r protocol hwn yng nghyd-destun Canllawiau Llywodraeth Cymru ar Arsylwi Gwersi yn Anecs G a Chyfarwyddiadau Gweithredoedd Cenedlaethol. Gweler www.nasuwt.org.uk/IndustrialAction.

ANECs D: TEMPLED ADBORTH ARSYLWI GWERSI

Dyddiad yr adborth: _____

Dyddiad arsylwi: _____

Y dosbarth a arsylwyd: _____

Cryfderau:

Meysydd i'w datblygu:

Sylwadau'r athro:

Arsylwr (llofnod): _____

Arfarnai (llofnod): _____

ANECs E: COFNOD YMARFER, ADOLYGU A DATBLYGU

COFNOD YMARFER, ADOLYGU A DATBLYGIAD										
Amcan	Darperir gweithgareddau datblygiad proffesiynol a chymorth		Cyfraniad gweithgareddau datblygiad proffesiynol a chymorth tuag at gyflawni'r amcanion			Ffactorau sy'n effeithio ar berfformiad yn erbyn yr amcanion		Asesu cynnydd yn erbyn yr amcanion		
	Disgrifiad	Dyddiad	Defnyddiol iawn	Defnyddiol	Dim help	Disgrifiad	Dyddiad	Cyflawnwyd	Cyflawnwyd yn rhannol	Heb ei gyflawni
I'w gwblhau yn y cyfarfod cynllunio	<i>I'w gwblhau yn y cyfarfod cynllunio</i>	<i>Ychwaneger ar ôl cael cadarnhad</i>	<i>Ticiwch fel sy'n briodol</i>			<i>I'w ychwanegu yn ystod y cylch, os bydd angen</i>		<i>Ticiwch fel sy'n briodol</i>		

ANECs F: DATGANIAD GWERTHUSO A THEMPLD ANECs

DATGANIAD ARFARNU

Dyddiad y Cyfarfod Adolygu: _____

Arfarnai: _____

Arfarnwr: _____

Rhestrwch yr amcanion a nodwch a lwyddwyd i gyflawni'r rheini neu a oes angen eu datblygu ymhellach.

Amcanion:

1.

2.

3.

Meysydd cryfder penodol (rhowch fanylion):

ATODIAD I'R DATGANIAD

Y meysydd i'w datblygu, os o gwbl, drwy hyfforddiant, datblygiad a chefnogaeth:

Cymorth ac adnoddau i'w darparu gan yr ysgol (rhowch fanylion):

Sylwadau'r arfarnai:

Cytunwyd ar gynnwys y cofnod hwn gan:

Arfarnai (llofnod): _____

Arfarnwr (llofnod): _____

Dyddiad pan gafodd yr arfarnai'r datganiad adolygu wedi'i gwblhau: _____

ANECs G: CANLLAWIAU ARSYLWI YN YR YSTAFELL DDOSBARTH LLYWODRAETH CYMRU

Gall arsylwi yn yr ystafell ddosbarth fod yn arf pwysig o ran codi safonau drwy gefnogi ymarferwyr wrth rannu a datblygu eu sgiliau a chan wella canlyniadau ar gyfer dysgwyr. Er nad oes cyfyngiadau ar yr uchafswm o adegau y gellir arsylwi, mae'n hanfodol bod y pwyslais yn bendant ar ansawdd y profiad yn hytrach na nifer y sesiynau arsylwi.

I sicrhau bod yr arsylwi yn bwrpasol, yn gefnogol ac yn ddatblygiadol, dylai pob un o'r rheini sy'n ymwneud â threfnu, cyflawni neu gymryd rhan mewn arsylwi roi sylw i'r cyfarwyddyd canlynol sy'n gosod y pwrpas a'r protocolau sy'n nodweddu ymarfer effeithiol.

Beth yw 'arsylwi yn yr ystafell ddosbarth'?

Mae 'arsylwi yn yr ystafell ddosbarth' yn cyfeirio at yr holl adegau y mae addysgu a/neu weithgareddau addysgu yn cael eu harsylwi at ddiben penodol gan rywun heblaw'r athro dosbarth a'r staff cymorth sydd fel arfer yn y dosbarth.

Egwyddorion a phrotocolau

Dylai arsylwi yn yr ystafell ddosbarth roi sylw i'r egwyddorion canlynol:

- Dylai pob un o'r rheini sy'n ymwneud â phob arsylwi rannu dealltwriaeth o'i bwrpas penodol. Dylid delio ag unrhyw anghydfod ynglŷn â gweithdrefnau arsylwi ayb drwy brosesau datrys anghydfod sefydledig yr ysgol a/neu drwy brosesau datrys anghydfod cydnabyddedig ar y cyd lle bo'n briodol.
- Lle bo'n ymarferol ac yn briodol, dylid gwneud ymdrech i gyfuno arsylwi at wahanol ddibenion fel bod y cyfleoedd ar gyfer arsylwi yn yr ystafell ddosbarth yn cael eu defnyddio'n effeithlon.
- Dylid meddwl yn ofalus am ddewis y sawl sy'n arsylwi fel y bydd yn adlewyrchu pwrpas yr arsylwi.
- Dylai arsylwi gefnogi a datblygu addysgu a dysgu – ni ddylai amharu ar weithgarwch arferol yn yr ystafell ddosbarth.
- Dylai trefniadau arsylwi gael eu cynllunio ymlaen llaw fel bod y rhai sy'n cymryd rhan yn cael rhybudd digonol.
- Dylai arsylwi fod yn wrthrychol, yn ddatblygiadol ac yn gefnogol a dylid ei gyflawni yn broffesiynol, yn onest ac yn gwrtais.
- Mae angen paratoi a rhoi ystyriaeth briodol ar gyfer arsylwi'n llwyddiannus.
- Fel rhan o drefniadau cyffredinol yr ysgol ar gyfer arsylwi yn yr ystafell ddosbarth, dylai'r rheini sy'n cymryd rhan yn yr arsylwi geisio cytuno ymlaen llaw ar natur ac amseru unrhyw adborth sydd i'w ddarparu ac â phwy y dylid ei rannu.
- Dylai trefniadau cynllunio ac adborth ystyried oriau cyfeiriedig a thelerau ac amodau statudol cyflogaeth.

Yn ogystal, ar gyfer yr arsylwi sy'n cynnwys barn ar berfformiad ymarferwyr unigol, dylid cymhwyso'r egwyddorion canlynol:

- Dim ond person sydd â Statws Athro Cymwysedig sy'n cael arsylwi addysgu at ddiben rheoli perfformiad athrawon (gan gynnwys asesiad athro newydd gymhwyso a Rhaglen Athrawon Graddedig) fel rhan o weithdrefnau medrusrwydd.
- Dylid penderfynu ar natur, pwrpas a hyd a lled yr arsylwi, yn ogystal â pha feysydd y dylid canolbwyntio arnynt yn y cyfarfod cynllunio.
- Bydd angen i gwmpas y dysgu sy'n cael ei arsylwi fod yn gytbwys i adlewyrchu amrywiaeth gwaith

athro, ond ni ddylai fod yn ormodol.

- Mae'n bwysig nad yw'r amser a dreulir yn arsylwi yn fwy na sydd ei angen i lunio barn gadarn ar sail tystiolaeth, gan fod sesiynau arsylwi aml yn wrthgynhyrchol ac yn tarfu ar eraill.
- Mae angen rhoi ystyriaeth ofalus yn y cyfarfod cynllunio ynglŷn â nifer y sesiynau arsylwi sydd i'w cynnal yn ystod y flwyddyn academaidd ac amseru'r sesiynau. Dylai'r ystyriaeth hon hefyd gynnwys gofynion y gwerthuswr i baratoi, cyflawni ac adrodd yn ôl yn ddigonol ar bob sesiwn. Er mwyn lleihau biwrocratiaeth mewn ysgolion, mae rhai gwerthuswyr, er enghraifft, yn credu ei bod yn ddefnyddiol cysylltu pob sesiwn â thoriadau naturiol y flwyddyn academaidd fel tymhorau.
- Dylid rhoi o leiaf pum niwrnod gwaith o rybudd ar gyfer arsylwi at y dibenion hyn.
- Mae'n bwysig bod y sesiynau sy'n cael eu harsylwi yn cael eu cynnal mewn amgylchedd sydd mor normal â phosib.
- Dylid rhoi adborth adeiladol bob amser ar lafar cyn gynted â phosib ar ôl yr arsylwi a dylid ei gadarnhau ar bapur o fewn pum niwrnod gwaith. Dylai athrawon gael y cyfle i ychwanegu sylwadau ysgrifenedig eu hunain at yr adborth hwn.
- Dylai pob un o'r rheini sydd â mynediad at y wybodaeth a geir o'r broses barchu ei chyfrinachedd a sicrhau bod darpariaethau Deddf Diogelu Data 1998 yn cael eu dilyn bob amser.

Dibenion arsylwi yn yr ystafell ddosbarth

Gellir trefnu dibenion arsylwi mewn grwpiau o dan y meysydd canlynol - nid yw'r rhain o anghenraid yn hollgynhwysol nac yn gyfyngedig:

1. **Arsylwi dysgu** dysgwyr unigol a/neu grwpiau o ddysgwyr; er enghraifft:
 - olrhain cynnydd unigolion a/neu grwpiau ar draws y cwricwlwm;
 - profiadau dysgwyr mewn gwahanol leoliadau;
 - codi ymwybyddiaeth ar gyfer llywodraethwyr.
2. Fel rhan o **ddatblygiad proffesiynol parhaus**; er enghraifft:
 - rhannu ymarfer effeithiol;
 - rhannu dysgu a datblygu ar y cyd;
 - arsylwi gan gyd-athrawon;
 - fel rhan o drefniadau hyfforddi a mentora;
 - arweiniad neu gyngor arbenigol - ar dechnegau addysgu, meysydd y cwricwlwm, defnydd o offer TGCh, ayb.
3. **Monitro ansawdd yr addysgu**, gan gynnwys:
 - fel rhan o'r cylch rheoli perfformiad blynyddol fel y diffinnir ym mholisi rheoli perfformiad yr ysgol;
 - fel rhan o weithdrefnau medrusrwydd fel y diffinnir ym mholisi medrusrwydd yr ysgol;
 - fel rhan o'r broses gynefino statudol ar gyfer athrawon newydd gymhwyso fel y diffinnir yn rheoliadau a chanllawiau Llywodraeth Cymru;
 - fel rhan o'r Rhaglen Athrawon Graddedig (neu raglenni mynediad athrawon eraill) fel y diffinnir yn rheoliadau a chanllawiau Llywodraeth Cymru;
 - at ddibenion rhoi barn ar addysgu a dysgu yn yr ysgol ar y cyfan;
 - fel rhan o drefniadau arolygu.

ANECs H: TEMPLED ARGYMHELLIAD DATBLYGIAD CYFLOG

DATGANIAD

Dyddiad yr Argymhelliad Datblygiad Cyflog _____

Gwerthuswr: _____

Gwerthusai: _____

Argymhelliad ar gyfer datblygiad cyflog*:

ar hyd y brif ystod cyflog hyd at bwynt _____

hyd at yr ystod cyflog uwch _____

ar hyd yr ystod cyflog ar gyfer ymarferwyr blaenllaw hyd at bwynt _____

ar hyd y brif ystod cyflog hyd at bwynt _____

ar hyd colofn gyflog y grŵp arwain hyd at bwynt _____

* llenwch fel y bo'n briodol

Manylion Rheoli/Gwerthuso Perfformiad*

Cyfnod wedi'i gynnwys yn yr Adroddiad Gwerthuso _____

Ysgolion wedi'u cynnwys yn y Datganiadau Gwerthuso _____

Datganiad

Yn unol â gofynion Rheoliadau Gwerthuso Athrawon Ysgol (Cymru) 2011, a chan ystyried y datganiadau gwerthuso priodol, rwy'n argymhell y dylai _____ ddatblygu i _____

Gwerthuswr (llofnod): _____

Gwerthusai (llofnod): _____

ATODIAD 3

AWGRYMIADAU YNGLYN Â GOSOD AMCANION

PROSES GOSOD AMCANION

Y cyfarfod cynllunio

Gosodir amcanion mewn cyfarfod cynllunio rhwng y sawl sy'n cael ei werthuso a'r gwerthuswr. Y nod yw cytuno ar yr amcanion ar gyfer y sawl sy'n cael ei werthuso.

Paratoi

Cyn y cyfarfod, mae angen i'r sawl sy'n cael ei werthuso ystyried y pwyntiau mae'n dymuno eu codi. Dylai ystyried ei ddisgrifiad swydd, gan sicrhau bod ganddo gopi o'r disgrifiad cyfredol, a nodi materion y gallai amcanion ganolbwyntio arnynt, gan gynnwys dyheadau proffesiynol, gwella cynnydd disgyblion ac unrhyw feini prawf datblygu cyflog perthnasol. Dylid hefyd ystyried cyfleoedd datblygu proffesiynol a chefnogaeth arall a allai fod o gymorth.

Os bydd nodiadau paratoi yn cael eu creu ar gyfer y cyfarfod, dim ond at ddibenion cyfeirio personol y dylent fod, fel cymorth i'r cof yn unig. Ni ddylid defnyddio na llenwi ffurflenni hunan-ddadansoddi nac adolygu nac unrhyw ddogfen arall a gaiff ei darparu gan yr ysgol, sydd i'w llenwi cyn y cyfarfod cynllunio, ac y bwriedir iddi gael ei gweld gan y gwerthuswr, neu fod yn rhan o'r ddogfennaeth a fydd ar gael i eraill ei gweld.

Ni ddylai athrawon byth gytuno i ddrafftio eu hamcanion eu hunain, naill ai cyn y cyfarfod neu ar unrhyw adeg arall. Er y gallai hyn ymddangos yn ddewis deniadol ar yr wyneb, nid cyfrifoldeb y sawl sy'n cael ei werthuso yw hyn, a gallai beri lawer o anawsterau.

Dogfennau

Ar ddechrau'r cyfarfod, dylai'r sawl sy'n cael ei werthuso a'r gwerthuswr sicrhau pa ddogfennau i'w defnyddio, a chytuno arnynt. Rhaid bod y cofnod cynllunio lle bydd canlyniad y cyfarfod yn cael ei gofnodi ar gael hefyd.

Cyrraedd cytundeb

Mae'n hanfodol bod y sawl sy'n cael ei werthuso yn dod i'r cyfarfod yn benderfynol o beidio â chaniatáu i'w hun gael ei wthio i dderbyn amcanion, nac unrhyw agwedd ar amcan, y mae'n bryderus yn ei gylch.

Mae Rheoliadau yn dweud y dylai'r gwerthuswr gofnodi'r amcanion ar gyfer y sawl sy'n cael ei werthuso os nad oes modd dod i gytundeb. Ni ddylai hyn beri i athrawon deimlo bod yn rhaid iddynt gytuno iddynt. Os bydd y gwerthuswr yn penderfynu cofnodi amcanion sydd heb eu cytuno, dylai'r athro wneud nodyn ysgrifenedig cryno ar y cofnod cynllunio yn dweud nad yw'n cytuno, a nodi'n gryno ei resymau dros beidio â chytuno. Dylid ceisio cyngor ar unwaith gan NASUWT.

Hyd yn oed mewn amgylchiadau lle bydd athro yn fodlon yn gyffredinol â chanlyniad y drafodaeth, mae'n arfer da ystyried yr amcanion sydd wedi'u cofnodi ac edrych ar y geirio yn ofalus cyn gwneud ymrwymiad terfynol.

Cofnodi'r canlyniad

Rhaid i athrawon sicrhau bod y gwerthuswr yn cofnodi'r wybodaeth ganlynol yn glir ar y cofnod cynllunio.

AMCANION

Cynnwys

Polisi NASUWT yw na ddylid cael mwy na thri amcan.

Rhaid i amcanion fod yn eglur, yn gryno ac yn hawdd eu deall.

Ni ddylid cytuno ar amcanion sy'n aneglur, neu sy'n ymddangos yn gymhleth, yn afrealistig ac yn anodd eu cyflawni.

Ni ddylai amcan gael ei rannu yn sawl rhan, oherwydd bydd hyn yn cynyddu nifer yr amcanion, i bob pwrpas.

Mae'n rhaid iddynt fod yn uniongyrchol gysylltiedig â disgrifiad swydd presennol yr athro ac ag unrhyw feini prawf datblygiad cyflog perthnasol. Nid yw gosod amcanion yn gyfle i reolwyr ysgolion neilltuo prosiectau i staff nad ydynt yn gysylltiedig â'u gwaith, nac ychwaith yn gyfle i newid disgrifiad swydd athro heb ddilyn y broses briodol.

Ni ddylid cyfeirio at unrhyw weithgareddau gwirfoddol nac allgyrsiol fel gwaith cartref, adolygu a chlybiau mathemateg, ysgolion haf a gweithgareddau ar y penwythnosau neu yn ystod y gwyliau, hyd yn oed os derbynnir tâl penodol ar eu cyfer.

Rhaid ystyried unrhyw anawsterau yn amgylchedd gwaith yr athro wrth osod amcanion. Gallai anawsterau gynnwys disgyblion aflonyddgar, dosbarthiadau mawr, disgyblion ag anghenion arbennig mewn dosbarthiadau prif ffrwd neu adnoddau annigonol. Rhaid i athrawon fod yn barod i bwysleisio'r rhain yn y cyfarfod cynllunio.

Mae Rheoliadau yn ei gwneud yn ofynnol i amcanion athro gynnwys cyfeiriad at gynnydd disgyblion a ffyrdd o ddatblygu a gwella arfer proffesiynol. Nid yw hyn yn golygu'n awtomatig bod angen dau amcan gwahanol ar gyfer pob un o'r agweddau hyn.

Rhaid i'r amcanion a gaiff eu gosod gael eu cofnodi ar y cofnod cynllunio.

Cynnydd disgyblion

Mae'r ffocws ar gynnydd disgyblion wrth osod amcanion yn un o'r agweddau mwyaf sensitif a chynhennus ar y broses rheoli perfformiad.

I gael unrhyw ddilysrwydd ystadegol, dylid mesur amcanion sy'n ymwneud â chynnydd disgyblion yn erbyn data cenedlaethol ar ysgolion a disgyblion tebyg, neu yn erbyn patrymau cyffredinol yn yr ysgol, yn hytrach na chymharu data disgyblion mewnol blwyddyn ar ôl blwyddyn.

Mae NASUWT yn gwrthwynebu'r defnydd o amcanion sy'n ymrwymo athro neu bennaeth i wella perfformiad disgyblion o ganran benodol.

Mae'n anodd i athro neu bennaeth unigol ragweld yn gywir neu warantu y gellir cyrraedd canran benodol. Mae nifer o ffactorau sy'n cael effaith ar berfformiad disgyblion y tu hwnt i reolaeth athrawon unigol. Gall mân-amrywiadau ym mhresenoldeb disgyblion penodol, er enghraifft, gael effaith sylweddol ar ganlyniadau canrannau.

Hefyd, mae NASUWT yn credu bod defnyddio targedau rhifiadol yn cyflwyno system 'talun yn ôl canlyniadau' nad oes lle iddi yn y broses rheoli perfformiad.

Am y rhesymau hyn, mae NASUWT yn dadlau y dylai amcanion sy'n ymwneud â chynnydd disgyblion fod yn rhai a rennir yn hytrach nag yn amcan i unigolyn, a dylent roi sylw i faterion sy'n ymwneud â nifer fawr o ddysgyblion yn hytrach na dosbarthiadau penodol.

Teachers and headteachers should not agree to set objectives which are linked to numerical targets.

Amcanion a rennir

Mae NASUWT yn credu'n gryf mewn defnyddio amcanion a rennir gan athrawon ar sail ysgol gyfan, adran neu grwp blwyddyn. Darperir ar gyfer trefniadau o'r fath yn Rheoliadau.

Dylai un neu fwy o amcanion y sawl sy'n cael ei werthuso fod yn amcan ysgol gyfan a rennir gan bawb, gan gynnwys y pennaeth. Dylid cytuno ar hyn drwy ymgynghori ag athrawon a'u cynrychiolwyr undeb. Dylid datgan yr amserlen, y gefnogaeth a'r datblygiad ar gyfer yr amcan, a chytuno arnynt, fel rhan o'r ymgynghoriad. Dylai pob athro gael copi o'r amcan ysgol gyfan y cytunwyd arno i gyfeirio ato. Dylid gwneud nodyn o'r amcan yn y cofnod cynllunio unigol neu atodi copi wrtho.

Mae hefyd yn briodol gosod amcanion ar gyfer adrannau cyfan neu grwpiau blwyddyn i'w rhannu gyda chydweithwyr eraill. Unwaith eto dylid datgan yr amserlen, y gefnogaeth a'r meini prawf llwyddiant, a chytuno arnynt, fel rhan o'r ymgynghoriad. Dylid rhoi copi i bob athro a'i atodi wrth y cofnod cynllunio unigol neu wneud nodyn ohono ar y cofnod.

Gellid defnyddio amcanion a rennir i wneud cynnydd effeithiol mewn perthynas â materion sydd wedi'u datgan yn y cynllun gwella ysgol.

Mae'r manteision a berthyn i amcanion a rennir yn amlwg. Maent yn hybu meithrin tîm, yn sefydlu ffocws ar nodau a rennir, yn rhoi sylw i'r anawsterau cynhenid mewn amcanion cynnydd disgyblion i athrawon unigol, yn hwyluso cynllunio mwy effeithlon ac effeithiol mewn perthynas ag adnoddau ac yn lleihau baich gwaith a'r amser sydd ei angen ar gyfer cyfarfodydd cynllunio.

Felly, yn ymarferol, gall unigolyn sy'n cael ei werthuso fod ag amcan ysgol gyfan a rennir gan bawb, amcan adran/grŵp blwyddyn a rennir gan gydweithwyr priodol, ac amcan unigol.

Os defnyddir amcanion a rennir, mae'n rhaid i Gynrychiolwyr NASUWT sicrhau bod ymgynghori didwyll yn digwydd a bod y cynnwys, yr amserlenni a'r gefnogaeth yn cyd-fynd â chyfarwyddyd NASUWT. Mae'r un egwyddorion yn berthnasol i'r rhain ag i amcanion unigol.

Athrawon sy'n gweithio'n rhan amser

Mae NASUWT yn pryderu y gosodir amcanion i athrawon sy'n gweithio'n rhan amser sydd â gofynion sy'n cyfateb i'r rhai sy'n gweithio'n llawn amser.

Er y dylid gosod tri amcan i athrawon rhan amser, mae'n rhaid i'r cynnwys fod yn briodol i'r amser maent yn ei weithio ac mae'n rhaid iddynt allu eu cyflawni o fewn yr oriau gwaith hynny. Gall athrawon sydd â chytundebau rhan amser mewn dwy ysgol fod yn agored iawn i ofynion gormodol a bydd rhaid iddynt fod yn wyladwrs o ran pa mor rhesymol yw'r amcanion sy'n berthnasol i'r naill gytundeb a'r llall.

Er bod athrawon sy'n rhan o drefniant rhannu swydd yn rhannu un swydd lawn amser, maent yn cael eu hystyried yn llygaid y gyfraith, ac at ddibenion rheoli perfformiad, fel athrawon rhan amser. Bydd pob athro sy'n rhannu'r swydd yn cael tri amcan ond byddai'n synhwyrol i'r gwerthuswyr sicrhau eu bod yn ategu'i gilydd. Byddai dewis yr un gwerthuswr ar gyfer athrawon sy'n rhannu swydd yn helpu gyda'r broses.

Dylid troi at NASUWT am gyngor ynghylch unrhyw bryderon.

Athrawon ag anableddau

Mae'n rhaid i athrawon ag anableddau sicrhau bod yr amcanion sy'n cael eu gosod yn rhai rhesymol yng nghyd-destun eu hanabledd gan adlewyrchu, fel y bo'n briodol, unrhyw addasiadau rhesymol sydd wedi'u gwneud er mwyn cefnogi eu cyflogaeth, yn unol â deddfwriaeth.

Rhaid cymryd gofal hefyd i sicrhau bod y gefnogaeth a gynigir gan yr ysgol i helpu gyda chyflawni amcanion yn gefnogaeth briodol. Er enghraifft, byddai'n afresymol disgwyl presenoldeb mewn cwrs hyfforddi penodol oddi ar y safle os yw teithio'n anodd neu os nad oes gan y lleoliad unrhyw ddarpariaeth addas ar gyfer anabledd yr athro.

Dylid troi at NASUWT am gyngor ynghylch unrhyw bryderon.

AMSERLENNI

Mae'n rhaid i'r amserlen ar gyfer pob amcan fod yn realistig. Yn gyffredinol, dylai athrawon gael y cylch adolygu cyfan i gwblhau pob un.

Os cytunir ar amserlenni eraill ar gyfer amcan, dylid cofnodi hyn yn y cofnod cynllunio.

CEFNOGAETH

Mae darparu cefnogaeth briodol yn hanfodol os am gyflawni amcanion.

Mae'r gefnogaeth yn cynnwys datblygiad proffesiynol, darparu amser a gyfeirir a chyllid. Bydd rhaid i'r pennaeth roi briff llawn i'r gwerthuswyr cyn y cyfarfod cynllunio er mwyn sicrhau bod amcanion yn cael eu gosod oddi mewn i'r adnoddau sydd ar gael. Bydd defnyddio amcanion a rennir yn gwneud y broses gyfan o ddewis a darparu cefnogaeth yn llawer symlach ac yn fwy cost-effeithiol ac effeithlon.

Datblygiad proffesiynol

Bydd dwy agwedd allweddol ar y defnydd o weithgareddau datblygiad proffesiynol wrth osod amcanion. Gydag un agwedd, y cyfranogiad yn y gweithgaredd ei hun yw'r amcan; gyda'r llall bydd y gweithgaredd yn cefnogi'r athro i gyflawni amcan.

Dylid dehongli'r term datblygiad proffesiynol yn ei ystyr ehangaf, nid dim ond fel darparu cyrsiau hyfforddi. Mae gweithgareddau fel addysgu tîm, gweithio ar y cyd, arsylwi arferion da cydweithwyr eraill yn yr ystafell ddosbarth, trafodaethau mewn cyfarfodydd adrannol neu aelodaeth o weithgorau i gyd yn gyfystyr â datblygiad proffesiynol.

Amser a gyfeirir

Mae'n rhaid datgan yr amser a gyfeirir sydd i'w neilltuo i alluogi i'r gweithgaredd gael ei gwblhau. Ni ddylid gofyn i athrawon ymgymryd ag unrhyw weithgaredd yn eu hamser eu hunain, ac ni ddylent wirfoddoli i wneud hynny. Gan fod rhaid cyflawni amcanion oddi mewn i amserlen bendant, mae gan athrawon hawl gytundebol i neilltuo o amser a gyfeirir er mwyn cwblhau'r dasg.

Mae'r pum niwrnod heb ddisgyblion (ag iddynt enwau amrywiol fel HMS, dyddiau athrawon neu Ddyddiau Baker) yn darparu ffynhonnell ddelfrydol o amser ar gyfer gweithgareddau cysylltiedig ag amcanion. Er enghraifft, os yw'r amcanion yn datgan bod rhaid i athro gymryd rhan mewn gweithgareddau datblygiadol, mae neilltuo amser yn ystod diwrnod athrawon yn dileu'r angen am athrawon llanw ac yn osgoi'r cymhlethdod o geisio ymgorffori gweithgareddau o'r fath mewn calendr y cytunwyd

arno eisoes. Mae gweithgareddau datblygiadol yn cynnwys datblygu deunyddiau neu gynlluniau gwaith newydd ar y cyd â chydweithwyr, ymweliadau ag ysgolion eraill i arsylwi arferion da a hyfforddiant i'r ysgol gyfan, y maes cwricwlwm neu'r adran.

Cyllid

Mae cyllid priodol yn rhan greiddiol o ddarparu cefnogaeth. Bydd angen cyllid ar gyfer nifer o'r gweithgareddau a gynhelir ar sail yr amcanion. Gall hyn gynnwys ffioedd cwrs, teithio a chynhaliaeth am fynychu cyrsiau hyfforddi, prynu offer arbenigol allanol a/neu athrawon llanw er mwyn rhyddhau athrawon o'u hymrwymiaadau i'w hamserlen.

Wrth fabwysiadu'r polisi rheoli perfformiad, dylai'r corff rheoli fod wedi datgan dyraniad cyllidebol i gefnogi'r broses, gan ymgynghori â'r pennaeth.

Nid cyfrifoldeb yr athrawon yw dod o hyd i ffynonellau o gyllid i gefnogi eu hamcanion.

Gwerthuso'r canlyniad

Asesir y perfformiad yn erbyn yr amcanion ar sail y meini prawf perfformio sydd wedi'u gosod ar ddechrau'r cylch a chan roi ystyriaeth i'r cofnod Adolygu a Datblygu Ymarfer.

Dylid asesu cynnydd da tuag at gyflawni amcan heriol mewn ffordd ffafriol, hyd yn oed os nad yw'r meini prawf perfformio wedi'u bodloni yn llawn.

Dylid cydnabod cryfderau a chyflawniadau a rhoi ystyriaeth i unrhyw ffactorau y tu allan i reolaeth y sawl sy'n cael ei werthuso, gan gynnwys unrhyw anawsterau o ran amodau gwaith sydd wedi cael effaith ar gyflawni amcanion.

ADOLYGU AMCANION YN YSTOD Y CYLCH GWERTHUSO

Unwaith mae amcanion wedi'u gosod a'r cylch adolygu wedi dechrau, efallai bydd amgylchiadau'n codi sy'n ei gwneud yn anodd i'r rhai sy'n cael eu gwerthuso gyflawni eu nodau. Gall y rhain gynnwys yr ysgol yn methu darparu'r gefnogaeth y cytunwyd arni, salwch, beichiogrwydd ac absenoldeb mamolaeth neu amgylchiadau personol.

Os bydd athro'n rhagweld anawsterau gyda chyflawni amcan ar unrhyw adeg yn ystod y cylch adolygu, dylid cysylltu â NASUWT cyn gynted ag sy'n bosib. Bydd hyn yn galluogi i gyngor gael ei roi ynghylch y ffordd fwyaf priodol o ddatrys y broblem, gan gynnwys a yw gofyn i reolwyr yr ysgol adolygu'r amcanion yn briodol.

Bydd yn bwysig gwarchod rhag gwerthuswyr sy'n cyflwyno adolygiadau yn ystod y cylch adolygu a hynny dim ond er mwyn gwneud yr amcanion yn fwy beichus neu helaeth. Os yw gwerthuswr yn awgrymu adolygu amcan, dylid gofyn am gyngor gan NASUWT ynghylch y cynnig a'r rheswm drosto.

BAICH GWAITH

Mae darpariaethau Cyfarwyddiadau Gweithredu Cenedlaethol NASUWT yn rhoi sylw i bob agwedd ar reoli perfformiad.

Ni ddylai'r baich gwaith gynyddu o ganlyniad i reoli perfformiad neu gyflawni amcanion os gweithredir cyfarwyddiadau a chanllawiau NASUWT.

METHU CYFLAWNI AMCANION

Os cedwir at y cyngor yn y cyfarwyddyd hwn, mae'n annhebygol y bydd unrhyw un sy'n cael ei werthuso'n methu cyflawni ei amcanion, oherwydd ni ddylai fod wedi cytuno ar unrhyw amcanion nad oedd yn credu y gallai eu cyflawni. Hefyd, rhaid cofio mai nid dim ond proses o lwyddo neu fethu yw hon, ond gweithio at gyflawni amcanion. Os credir yng nghyfarfod adolygu'r gwerthusiad nad yw'r sawl sy'n cael ei werthuso wedi cyflawni un neu fwy o'r amcanion, yna byddai'n annoeth cytuno ar amcanion newydd ar gyfer y cylch nesaf sy'n seiliedig ar y rhai sydd heb eu bodloni, neu'n gysylltiedig â hwy, heb ofyn am gyngor gan NASUWT.

Os nad yw'r sawl sy'n cael ei werthuso'n cytuno â'r asesiad sy'n datgan nad yw wedi cyflawni un neu fwy o'i amcanion, yna dylid troi at y weithdrefn apelio y manylir arni yn y Rheoliadau.

Dylid cysylltu â NASUWT o dan yr amgylchiadau hyn.



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