



Appraisal Policy for Teaching Staff in Schools

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ANNEX 1 – MANAGING PERFORMANCE THROUGH APPRAISAL

ANNEX 2 – FORMAL CLASSROOM OBSERVATION PROTOCOL

GENERAL PRINCIPLES UNDERLYING THIS POLICY

1 APPLICATION OF THE POLICY

- 1.1 *This policy and procedure is aligned with the objectives and principles contained within the Teachers' Pay Policy.*
- 1.2 *The policy applies to all teachers, including the Headteacher, employed by the school except those on contracts of less than one term, or those undergoing an induction or probationary period of employment, or those who are the subject of capability procedures.*
- 1.3 *All appraisal activity should be undertaken within a teacher's directed time and be workload assessed in order not to increase the teacher's workload.*

2 PURPOSE

- 2.1 *This policy sets out the framework for a clear and consistent assessment of the overall performance of teachers and for supporting their development needs within the context of the school's improvement plan and their own professional needs.*
- 2.2 *Where teachers are eligible for performance related pay progression, the assessment of such performance throughout the appraisal cycle will relate to relevant workforce standards¹ and objective criteria specified in their planning and review statement. This will be the basis on which the Appraiser makes the recommendation.*

3 LINKS TO SCHOOL IMPROVEMENT

- 3.1 *This Policy has been developed to ensure that the arrangements for appraisal link with those for school improvement, school self-evaluation and school development planning and the relevant standards outlined in the Teachers'*

¹ Currently this relates for teachers to the new Teachers' Standards published by the Secretary of State for Education, effective from 1 September 2012.

Standards published by the Secretary of State for Education.

- 3.2 *To minimise workload and bureaucracy involved in the process it is expected that the appraisal process will be the main source of information, as appropriate, for school self-evaluation and the wider school improvement process. Appraisers will therefore be expected to explore the alignment of appraisee objectives with the school's priorities and plans. The objectives set within the appraisal cycle will also reflect the professional aspirations of teachers.*

4 STAFF TRAINING AND DEVELOPMENT

- 4.1 *The school's training and support (CPD) programme will be informed by the training and development needs identified through the individual's planning and review statements.*
- 4.2 *The Governing Body will ensure in the budget planning that, as far as possible, appropriate resources are made available in the school budget for any training and support agreed.*
- 4.3 *An account of the general training and development needs of teachers, including the instances where it did not prove possible to provide any agreed CPD, will form a part of the Headteacher's annual report to the Governing Body about the operation of the appraisal policy in the school.*
- 4.4 *With regard to the provision of CPD in the case of competing demands on the school budget, a decision on relative priority will be taken with regard to the extent to which:*
- (a) the CPD identified is essential to meet an individual's objectives;
and*
 - (b) the extent to which the training and support will help the school to achieve its priorities. The school's priorities will have precedence.*

- 4.5 *Teachers should not be held accountable for failing to make good progress towards meeting their performance criteria or overall assessment against relevant workforce standards where evidence suggests the support recorded in the planning statement has not been provided.*
- 4.6 *In addition to formal limits on classroom observation, Headteachers or other leaders may consider in discussion with the appraisee a number of supportive measures for their development outside of appraisal to ensure teaching standards are maintained to expected levels. For example, this could include development of peer and/or joint observations with staff as part of CPD development and be recorded in the planning statement.*
- 4.7 *Support as part of the appraisal process could also be in the form of “drop ins” undertaken by the Headteacher or a member of the senior management team and will be supportive in nature.*
- 4.8 *Clearly the performance management arrangements are integral to fulfilling this duty and Headteachers may consider the classroom observations they have agreed for appraisal are sufficient and that drop in will not be needed.*

In this school:

Option 1: drop ins will only be undertaken by the Headteacher, or

Drop ins will only inform the performance management process where evidence arises which merits the revision of the performance management planning statement, in accordance with the provisions of the regulations.

5 CONSISTENCY OF TREATMENT AND FAIRNESS

- 5.1 *The Governing Body is committed to ensuring consistency of treatment and fairness in the operation of appraisal. To ensure this is undertaken the following provisions are made in relation to moderation, quality assurance and objective setting².*

² It is considered best practice for schools to have moderation arrangements for planning and review statements in place to ensure that the procedures involved in appraisal are applied fairly and consistently across the school. Schools are free to determine their own specific arrangements for relevant teacher groups within school, as is

Quality Assurance (Headteachers)

5.2 *In relation to the quality assurance of the appraisal arrangements for the Headteacher, the Governing Body will:*

nominate (three Governors) who will not be involved in the Headteacher's appraisal or any appeal regarding the Headteacher's appraisal, to ensure that the Headteacher's planning statement is consistent with the school's improvement priorities, relevant workforce standards and complies with the school's appraisal policy and appropriate regulations.

Quality Assurance (Teaching Staff)

5.3 *The Headteacher has determined that s/he will (insert option from below):*

- *delegate the role of appraiser for some teachers for whom s/he is not the line manager. In these circumstances the Headteacher will either:*

moderate all the planning statements to check that the plans recorded in the statements of teachers at the school are consistent between those who have similar experience and similar levels of responsibility, as well as complying with relevant workforce standards, the school's appraisal policy and the regulations and the requirements of equality legislation;

Objective Setting

5.4 *The objectives set will be rigorous, measurable, achievable, time-bound, fair and equitable in relation to teachers with similar roles/responsibilities and experience, and will have regard to what can reasonably be expected of anyone in that position, given the desirability of the appraisee being able to achieve a satisfactory balance between the time required to discharge their professional duties and the time required to pursue their personal interests*

outside work³. They should be such that, if they are achieved, they will contribute to improving the education of pupils at the school or any plan of the Governing Body designed to improve educational provision and performance. They will be appropriate to the teacher's role and level of experience.

5.5 • *The Headteacher's objectives will be set by the Governing Body after consultation with the appointed external adviser.*

• *Objectives for each employee will be set before or as soon as practicable after, the start of each appraisal period.*

5.6 *The Appraiser and appraisee will seek to agree the objectives, the method of assessment, and any support necessary to achieve these objectives but where a joint determination cannot be made the Appraiser will make the determination. In such situations the appraisee may record their objections on the planning and review statement.*

5.7 *The Governing Body have determined that whilst not all teachers will have the same number of objectives, all teachers, including the Headteachers, will be subject to a maximum of 3 objectives in any one cycle⁴.*

6 REVIEWING PROGRESS

6.1 *Inherent in the role of managers is the responsibility to monitor the performance of teachers and to regularly discuss with them their standard of work⁵. It is particularly important that any failure, or potential failure, to achieve a required standard is discussed with them at the earliest opportunity (see Annex 1).*

³ They shall also take account of teachers' professional aspirations, relevant workforce standards and any relevant pay progression criteria. Reference should also be made to required support and training necessary to meet objectives.

⁴ Existing practice in majority of schools is to have up to 3 objectives and this is recommended. Where schools determine to move beyond this then they should consult with teachers and recognised trade unions in advance of any change.

⁵ Manager in this instance would hold QTS and in normal circumstances be their immediate line manager or the Headteacher.

- 6.2 *At the end of the cycle assessment of performance against an objective will be on the basis of the performance criteria set at the beginning of the cycle. Good progress towards the achievement of a rigorous objective, even if the performance criteria have not been met in full, will be assessed favourably depending upon individual circumstances.*
- 6.3 *The appraisal cycle is annual, but on occasions it may be appropriate to set objectives that will cover a period over more than one cycle. In such cases, the basis on which the progress being made towards meeting the performance criteria for the objective will be assessed at the end of the first cycle and will be recorded in the planning and review statement at the beginning of the cycle.*
- 6.4 *Though appraisal is an assessment of overall performance, specific objectives cannot cover the full range of an appraisee's roles/responsibilities and will therefore focus on the priorities for the cycle. However, any subsequent performance review will include an assessment of any relevant workforce standards⁶ not directly covered by these objectives.*

Classroom Observation

- 6.5 *This school believes that observation of classroom practice and other responsibilities is important both as a way of assessing teachers' performance in order to identify any particular strengths and areas for development employees may have, as well as a way of gaining useful information which can inform school improvement more generally.*
- 6.6 *All such observations will be carried out in a supportive fashion, the amount and type of classroom observation dependent upon the individual circumstances of the appraisee and the overall needs of the school.⁷ All classroom observation will be undertaken in line with the classroom observation protocol appended to this policy in Annex 2.*

⁶ Teachers will be provided with documentation relating to any new/changes to relevant workforce standards applicable to the appraisal process at the beginning of each cycle

⁷ Classroom observation for teachers will only be carried out by those with QTS as a statutory requirement. Normally this would be a member of the senior management team of the school or immediate line manager.

The amount of classroom observation for any teacher within school will be limited to a maximum of 3 hours for the purposes of the appraisal cycle.

Performance Related Pay

- 6.7 *The School Teachers Pay and Conditions Document introduced Performance Related Pay for Teachers from September 2013.*

Paragraph 21.1 of the 2013 Regulations states that:

‘The relevant body must consider annually whether or not to increase the salary of teachers who have completed a year of employment since the previous annual pay determination and, if so, to what salary within the relevant pay range ’

Details of performance criteria, evidence and the relevant pay ranges are contained in the Teachers Pay Policy.

- 6.8 *The Review Feedback Form now contains a recommendation on salary. It is the responsibility of the Appraiser to fully explain if the teacher has met the relevant performance criteria and the impact on their salary. Every Teacher will receive an annual statement as part of the pay review process.*
- 6.9 *Where a teacher fails to meet the relevant performance criteria it is the responsibility of the Appraiser to provide details of support available and if necessary details of the Appeals Process (contained in the Teachers Pay Policy).*

Suspension of Appraisal Policy

- 6.10 *Teachers will receive constructive feedback on their performance throughout the year and as soon as possible after the observation (or where other evidence has come to light) and no later than end of the following working day.*
- 6.11 *However, where the appraiser has identified serious concerns in performance, that the appraisal process has been unable to address, they will*

refer the matter to the Headteacher (or in the case of the Headteacher to the Chair of Governors).

Based on the information received the Headteacher will;

(a) advise the appraiser of additional supportive actions that can be taken within the appraisal cycle (see Annex 1); OR

(b) determine there is a cause for concern requiring the appraisal policy to be suspended and the capability policy & procedure to be invoked.

6.12 The Headteacher will liaise with their Education Development Partner where consideration is given to option (b) to ensure appropriate evidence is in place. Where such a determination is made by the Headteacher the appraisee will be notified in writing within five working days that the appraisal policy will no longer apply and that their performance will be managed under the school capability procedure⁸.

7 APPEALS

7.1 The Governing Body have established procedures to ensure an appraisee can appeal against any entry on their planning and review statement, including any changes made to the statement during the cycle. Where an appraisee wishes to appeal on the basis of more than one entry this would constitute one appeal hearing.

7.2 Any appeal should be deferred until after the moderation process is complete where the Headteacher has indicated an intention to moderate the statements. Simple disagreements should be capable of being resolved by discussion between the reviewer and the reviewee without recourse to formal grievance procedures.

7.3 Details of the appeals process is covered in the Teachers' Pay Policy.

⁸ In such instances the appraisee will be reminded of their right to contact their trade union/professional association representative for support.

8 CONFIDENTIALITY

8.1 *The whole appraisal process and the statements generated under it will be treated with strict confidentiality at all times. Access will therefore be limited to the following⁹:*

- *the appraisee's line manager(s) to enable them to discharge their line management responsibilities.*
- *those responsible for undertaking a moderation/quality assurance role as determined by this policy*
- *those responsible for any pay determination or appeal in relation to this policy*
- *those responsible for assessing performance as part of separate proceedings through the school's Capability Policy.*

9 APPOINTMENT OF APPRAISERS

9.1 *The Governing Body believe that wherever possible the role of appraiser should be delegated to the relevant line manager within school, as they are best placed to undertake a review and assess the activities of the appraisee.*

The Headteacher

9.2 *The Headteacher will be appraised by the Governing Body, supported by a suitably skilled and/or experienced external adviser who has been appointed by the Governing Body for that purpose. This will include advice and support in relation to the setting of objectives, ongoing management, as well as review of the Headteacher's performance.*

9.3 *The Governing Body have delegated to its Performance Management Governors the responsibility for the appraisal of the Headteacher.*

9.4 *Where a Headteacher is of the opinion that any of the Governors appointed by the Governing Body under this regulation is unsuitable for professional reasons, s/he may submit a written request to the Governing Body for that Governor to be replaced, stating those reasons.*

⁹ This does not preclude release of such data where required under statutory regulations.

9.5 *The Headteacher has responsibility for appraisal of all other Teaching staff within school and this will be undertaken in the following manner.*

Teaching Staff

9.6 *In the case where the Headteacher is not the teacher's line manager, the Headteacher may delegate the duties imposed upon the Appraiser, in their entirety, to the teacher's line manager. In this school the Headteacher has determined that:*

they will be the Appraiser for those teachers they directly line manage and will delegate the role of Appraiser, in its entirety, to the relevant line managers for some or all other teachers. In such circumstances these line managers will:

- *be the Appraisers for all those teachers they line manage, or;*

9.7 *Reference should always be made to the level of appropriate release time required when determining the specific number of appraisals any member of staff undertakes in a given cycle.*

9.8 *Where a teacher has more than one line manager the Headteacher will determine which line manager will be best placed to manage and review their performance. However, where a teacher is of the opinion that the person to whom the Headteacher has delegated the Appraiser's duties is unsuitable for professional reasons, s/he may submit a written request to the Headteacher for that Appraiser to be replaced, stating those reasons.*

9.9 *Where it becomes apparent that the Appraiser will be absent for the majority of the cycle or is unsuitable for professional reasons the Headteacher may perform the duties himself/herself or delegate them. Where this is not the appraisee's line manager they will be at least at an equivalent or higher status within the staffing structure of the school.*

9.10 *An appraisal cycle will not begin again in the event of the Appraiser being changed.*

9.11 *All line managers to whom the Headteacher has delegated the role of Appraiser will receive appropriate preparation and training for that role.*

10 THE APPRAISAL CYCLE

10.1 *The performance of teachers must be reviewed on an annual basis with performance planning and reviews being completed in line with this policy and the agreed cycle for performance, which has been determined as:*

- *for all teachers this will be by 31 October*
- *for the Headteacher this will be by 31 December.*

10.2 *To ensure that the performance planning and reviews are completed on time, the appraisal cycle in this school will therefore run as follows:*

- *for the Headteacher from December to December*
- *for teachers from October to October*

During the cycle the appraisee should:

- *receive written feedback on classroom observation;*
- *receive written evidence from any persons or any data as determined at the planning meeting at the beginning of the cycle;*
- *provide available evidence/data relating to the objectives undertaken during a review of their performance, as agreed within their planning and review statement*
- *receive feedback on their progress from the appraiser and the opportunity to discuss this;*
- *be advised, at the time they arise, of any concerns and have the opportunity to discuss these with the appraiser; and*
- *advise the appraiser of any concerns they have, at the time they arise, about progress, the provision of support or training*

10.3 *All evidence gathered during the cycle must be shared with the appraisee as it is collected so that there are no surprises at the end of the cycle.*

- 10.4 *In respect of teaching staff there will be a requirement before or as soon as practicable after the start of each appraisal period for them to be informed of the standards against which their performance in that appraisal period will be assessed.¹⁰*
- 10.5 *All teachers employed on a fixed term contract of less than one year will have their performance managed in accordance with the principles underpinning the provisions of this policy. The length of the cycle will be determined by the duration of their contract.*
- 10.6 *Where a teacher begins their employment at the school part-way through a cycle, the Headteacher, or in the case where this is the Headteacher the Governing Body, shall determine the length of the first cycle for that member of staff, with a view to bringing this cycle into line with the cycle for other teachers within school as soon as possible.*
- 10.7 *Where a teacher transfers to a new post within the school part-way through a cycle, the Headteacher or, in the case where it is the Headteacher the Governing Body, shall review arrangements and consider whether the cycle shall be amended and/or to change the Appraiser.*

11 RETENTION OF STATEMENTS

- 11.1 *Planning and review statements will be retained for a minimum period of 6 years. Access to these statements is limited to those groups identified in section 8 of this policy.*

12 MONITORING AND EVALUATION

- 12.1 *The Governing Body will monitor the operation and outcomes of appraisal arrangements.*
- 12.2 *The Headteacher will provide the Governing Body with a written report on the operation of the school's appraisal policy annually. The report will not*

¹⁰ All teachers should be assessed against the set of relevant standards contained in the document called "Teachers' Standards" effective from September 2012.

contain any information, which would enable any individual to be identified.

The report will include:

- *the operation of the appraisal policy;*
- *the effectiveness of the school's appraisal procedures;*
- *Teachers' training and development needs.*

12.3 This Policy will be applied fairly and consistently regardless of a person's gender, gender identity, marital status, employment status, sexual orientation, race, spoken language, ethnic or national origins, faith, religion, beliefs, disability, age, trade union/professional association membership or activity together with any political view or affiliation.

On appointment, all teachers will be invited to provide personal data such as (note this is not an exhaustive list):

- *Race*
- *Sex*
- *Sexual orientation*
- *Disability*
- *Religion and belief*
- *Age*
- *Part-time contracts*
- *Trade union membership.*

13 REVIEW OF THE POLICY

13.1 The Governing Body will review the appraisal policy every school year at the Autumn Term Finance and Premises Committee Meeting.

13.2 The Governing Body will take account of the Headteacher's report in its review of the appraisal policy. The policy will be revised as required to introduce any changes in regulation and statutory guidance to ensure that it is always up to date.

13.3 *The Governing Body will seek to agree any revisions to the policy with the recognised trade unions having regard to the results of the consultation with all teachers.*

13.4 *To ensure teachers are fully conversant with the appraisal arrangements, all new staff that join the school will be briefed on them as part of their introduction programme.*

14 ACCESS TO DOCUMENTATION

14.1 *Copies of the school improvement plan; school self-evaluation and development planning, as well as relevant workforce standards can be obtained from the school office.*

Signed: G Davison

Headteacher

Date: October 2016

Signed: W Bellamy

Chair of Finance and Premises Committee

Date: October 2016

ANNEX 1 - MANAGING PERFORMANCE THROUGH APPRAISAL

The first steps at supporting teachers where concerns have been identified in their performance should, except in exceptional circumstances, be through the process of the school appraisal policy. This will allow in most cases early identification of the cause of any minor concerns relating to performance and ensure supportive measures can be put in place.

Discussions between the appraiser and appraisee should take place in an open and constructive atmosphere and should be regarded as part of the normal working routine with the specific aim of identifying ways in which the teacher can be encouraged and helped to improve performance. Where necessary any objectives agreed as part of the existing appraisal cycle should be reviewed to take account of identified concerns, outlining expectations, outcomes and timescales.

It is likely that the vast majority of cases will be resolved through this process and contained within the appraisal system. However, where it has not been possible to eliminate concerns about an employee's performance or improvement has not been sustained then in such circumstances the appraiser will inform the teacher of their intention to refer the matter to the Headteacher (where the Headteacher is not already the line manager)

The Headteacher in conjunction with their Education Development Partner will review the supportive measures that have already been put in place to determine the most appropriate route to achieve the required levels of performance. In doing so they will come to the following conclusions:

- a. advise the appraiser of additional supportive actions that can be taken within the appraisal cycle; OR*
- b. determine there is a cause for concern requiring the appraisal policy to be suspended and the capability procedure to be invoked.*

Where (a) is the conclusion the appraiser will continue with the appraisal policy and amend the planning and review statement to reflect changes to objectives and additional supportive actions to meet them. Where acceptable performance is achieved then the appraisal cycle, as contained within this policy will continue. Where performance remains a concern following completion of the additional supportive actions the matter will be referred back to the Headteacher for further review.

Where (b) is the conclusion the appraisee will be notified in writing that the appraisal system will be suspended and that their performance will now be managed under the school capability procedure¹¹.

ANNEX 2 - FORMAL CLASSROOM OBSERVATION PROTOCOL

The Governing Body is committed to ensuring that classroom observation is developmental and supportive and that those involved in the process will:

- *carry out the role with professionalism, integrity and courtesy;*
- *evaluate objectively;*
- *report accurately and fairly; and*
- *respect the confidentiality of the information gained.*

The total period for classroom observation arranged for any applicable teacher will have regard to the individual circumstances of the employee. The amount of observation for each teacher should reflect and be proportionate to the needs of the individual and under this appraisal policy will be no more than 3 hours.

The arrangements for classroom observation will be confirmed at the beginning of each cycle and will include the amount of observation, specify its primary purpose, any particular aspects of performance which will be assessed, the duration of the observation, when during the appraisal cycle the observation will take place and who will conduct the observation.

¹¹ In such instances the appraisee will be reminded of their right to contact their trade union/professional association representative for support.

Information gathered during the observation will be used, as appropriate, for a variety of purposes including informing on school self-evaluation and school improvement strategies in accordance with the school's commitment to streamlining data collection and minimising bureaucracy and workload burdens on teachers. Every step should be taken to ensure anonymity of staff concerned in the use of such data.

In keeping with the commitment to supportive and developmental classroom observation those being observed will be notified in advance.

Classroom observations will normally be undertaken by a member of the School Leadership Team or immediate line manager who will have QTS. In addition, in this school classroom observation will only be undertaken by those who have had adequate preparation and the appropriate professional skills to undertake observation and to provide constructive oral and written feedback and support, in the context of professional dialogue between colleagues.

Oral feedback will be given as soon as possible after the observation and no later than the end of the following working day.

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 taken in accordance with this policy.

The written record of feedback also includes the date on which the observation took place, the activities and actions observed and the length of the observation. The member of staff will have the right to append written comments on the feedback document. No written notes in addition to the written feedback will be kept.

GENERAL PRINCIPLES UNDERLYING THIS POLICY

Confidentiality

The appraisal process will be treated with confidentiality. However, the desire for confidentiality does not override the need for the Headteacher and Governing Body to quality-assure the operation and effectiveness of the appraisal system. Schools to say here how they might achieve this, for example, the Headteacher or appropriate colleague might review all teachers' objectives and written appraisal records personally, in order to check consistency of approach and expectation between different appraisers. The Headteacher might also wish to be aware of any pay recommendations that have been made.

Consistency of Treatment and Fairness

The Governing Body is committed to ensuring consistency of treatment and fairness. It will abide by all relevant equality legislation, including the duty to make reasonable adjustments. The Governing Body is aware of the guidance on the Equality Act issued by the Department for Education.

Definitions

Unless indicated otherwise, all references to "teacher" include the Headteacher.

Delegation

Normal rules apply in respect of the delegation of functions by Governing Bodies, Headteachers and Local Authorities.

Monitoring and Evaluation

The Governing Body and Headteacher will monitor the operation and effectiveness of the school's appraisal arrangements.

Retention

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