

Policy for Appraisal

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1. Introduction

- 1.1 This policy is based on the national revised appraisal arrangements which come into force on 1st September 2012. They are set out in the Education (School Teachers' Appraisal) (England) Regulations 2012 (the Appraisal Regulations) which replaced the Education (School Teacher Performance Management) (England) Regulations 2006 (the 2006 Regulations).
- 1.2 The Appraisal Regulations set out the principles that apply to teachers in all maintained schools and unattached teachers employed by a local authority, in each case where they are employed for one school term or more.
- 1.3 The governing bodies of maintained schools and local authorities must stay within the legal framework set out in the Appraisal Regulations and where they are an employer, comply with other relevant legislation that affects all employers (for example legislation on equality, employment protection and data protection).
- 1.4 Governing bodies must have an appraisal policy for teachers employed at the school and local authorities must have an appraisal policy for unattached teachers they employ. Governing bodies must also have a capability policy in place for all staff at the school.

2. Purpose

- 2.1 This policy sets out the framework for a clear and consistent assessment of the overall performance of teachers, including the headteacher, and for supporting their personal and professional development within the context of the school's plan for improving educational provision and performance, and the standards expected of teachers/headteachers.
- 2.2 Appraisal in this school will be a supportive and developmental process designed to ensure that all teachers/headteachers have the skills and support they need to carry out their role effectively. It will help to ensure that teachers/headteachers are able to continue to improve their professional practice and develop as teachers/headteachers. The appraisal process outcomes also provide the evidence by which pay decisions will be made (see the school's Pay Policy for further detail).
- 2.2 The appraisal procedure will also be used to address any initial concerns that are raised about a teacher/headteacher's performance. If concerns are such that they cannot be resolved through this appraisal process, then the headteacher (or the governing body, as appropriate) will consider whether to commence a formal performance management process under the Capability Policy.

3. Scope

3.1 This policy applies to the headteacher and to all teachers employed by the school, except those employed for less than one school term, those undergoing induction (ie NQTs) and those who are already being formally performance managed under the terms of the Capability Policy. It has been written in the context of schools but the same principles apply to unattached teachers.

3.2 Separate arrangements exist for the appraisal of school support staff.

4. Roles and responsibilities

4.1 The governing body will:

- Adopt an appraisal policy that sets out the appraisal process for teachers and make that document available to teachers employed at the school;
- Ensure that the headteacher carries out his/her duties in respect of appraising other teachers;
- Form a committee responsible for the headteacher's appraisal, and ensure that the headteacher's appraisal is conducted in line with this policy.

4.2 The headteacher will:

- Submit any updated appraisal policy to the governing body for approval;
- Ensure that effective appraisal arrangements are in place and that any appraisers have the knowledge and skills to apply procedures fairly;
- Ensure that the school's Senior Leadership Team (SLT) are briefed as appropriate on the application of the governing body's approach to linking performance appraisal to pay progression in alignment with the schools' Pay Policy and ensure consistency of approach in the application of this policy.

4.2 Appraisers will:

- Agree a timeline for all stages of the process and ensure that this is appropriately managed;
- Prepare for and conduct reviews in a professional way, ensuring that the appraisee fully understands the process;
- Ensure that appraisal paperwork is completed in a timely manner, and that appropriate records are kept.

4.2 Teachers will:

- engage with appraisal- this includes working with their appraiser to ensure that there is a secure evidence base in order for an annual pay determination to be made;
- Keep records of their objectives and review them throughout the appraisal process;
- Share any evidence they consider relevant with their appraiser;
- Ensure they have an annual review of their performance.

5. Confidentiality

- 5.1 All parties involved in the implementation of this policy will be expected to observe the principle of confidentiality in relation to the contents of appraisals and any documentation that is created during the appraisal process.
- 5.2 Any documentation arising from, or the content of any discussions during, appraisal meetings may be shared by the headteacher/appraiser with individuals involved in monitoring performance, or those involved in any capability proceedings that may follow and for quality assurance/moderation purposes. The appraisee should be informed if documentation relating to their appraisal is shared.
- 5.3 Documentation arising from, or the content of any discussions during appraisal meetings, should be stored securely. To prevent unauthorised access, maintain data accuracy and ensure confidentiality, the school has in place appropriate electronic and managerial procedures to ensure the information held is protected appropriately.
- 5.4 Appraisal information will be retained for a minimum period of six years on the personnel file.

6. Equality

- 6.1 The appraisal process must always be applied fairly and in accordance with employment legislation and the school's Equality and Diversity in Employment Policy.

7. Timings

- 7.1 Appraisal processes should normally be conducted within the timescales laid down in this procedure. However, if there is a valid reason to do so, timescales can be varied. If this is initiated by management, the appraisee should be given an explanation and informed when a response or meeting can be expected.
- 7.2 All efforts should be made by employees to attend meetings that constitute part of this procedure. When there are valid reasons to reschedule meetings then these should be rearranged without undue delay. Meetings will be scheduled during the working day. For teachers these meetings can take place as part of directed time but should not be held in PPA time, lunchtime etc.

8. The Appraisal Period

- 8.1 The appraisal period will run for 12 months, normally from 1 September to 31 August each year.

- 8.2 Where teachers/headteachers are employed on a fixed term contract of less than one year, the appraisal period is the period of employment to which the contract relates.
- 8.3 Where a teacher/headteacher starts their employment at the school partway through a school year, the headteacher or, in the case where the employee is the headteacher, the Governing Body shall determine the length of the first appraisal period for that teacher/headteacher, with a view to bringing his/her appraisal period into line with the appraisal period for other teachers as soon as possible.
- 8.4 Where a teacher/headteacher transfers to a new post within the school partway through an appraisal period, the headteacher or, in the case where the employee is the headteacher, the Governing Body shall determine whether the appraisal period shall begin again and whether to change the Appraiser.

9. Appointing Appraisers

Headteachers

- 9.1 The headteacher will be appraised by a committee of the Governing Body, consisting of two or three members of the Governing Body, who have been delegated to perform that function, supported by a suitably skilled and experienced external adviser who has been appointed by the Governing Body for that purpose.
- 9.2 The task of appraising the Headteacher, will including the setting of objectives and informing the headteacher of the standards against which the headteacher's performance in the appraisal period will be assessed.
- 9.3 Where a headteacher is of the opinion that any of the governors appointed by the Governing Body is unsuitable to act as his/her Appraiser, s/he may submit a written request for that governor to be replaced, stating the reasons for the request.

Other teachers

- 9.4 The headteacher will decide who will appraise other teachers on behalf of the headteacher. All appraisers appointed by the headteacher will be qualified teachers and will have current or recent teaching experience.
- 9.5 Where a teacher has an objection to the headteacher's choice, their concerns will be carefully considered by the headteacher, and where appropriate, an alternative appraiser will be offered.
- 9.6 If it becomes apparent that the appraiser appointed by the headteacher will be absent for the majority of the appraisal cycle, the headteacher may perform those duties her/himself or delegate those duties to another teacher for the duration of that absence.

- 9.7 If the headteacher appoints an appraiser who is not the teacher's line manager, the appraiser to whom s/he delegates those duties will have an appropriate position in the staffing structure, together with the necessary background knowledge, skills and training to undertake the role.
- 9.8 Where the headteacher is not the appraiser, and the headteacher considers it appropriate to do so (for example where a teacher is experiencing difficulties), the headteacher may undertake the role of appraiser.

10. Setting Objectives

- 10.1 The headteacher's objectives will be set by a committee of the Governing Body in consultation with the external adviser. Teachers' objectives will be set by their appraiser.
- 10.2 Objectives will be set before, or as soon as practicable after, the start of each appraisal period. The objectives set will be Specific, Measurable, Achievable, Realistic and Timebound (SMART) and will be appropriate to the teacher's role and level of experience. Teachers will have no more than three objectives, unless the appraisee requests that additional objectives are set.
- 10.3 The objectives set for each appraisee must, if achieved, contribute to the school's plans for improving the school's educational provision and performance and improving the education of pupils at that school, and will include a description of what success may look like. The objectives may also take into account the professional aspirations of the appraisee.
- 10.4 The agreed objectives will contain a description of what success may look like. Where use of numerical objectives is appropriate, these will be reasonable, taking into account the circumstances in which the teacher works and it will be recognised in setting such objectives that factors outside the teacher's control may significantly affect success.
- 10.5 The appraiser and appraisee will seek to agree the objectives but, if that is not possible, the appraiser will determine the objectives. Teachers may register objections on the appraisal record if objectives are not agreed. Objectives may be revised if circumstances change.
- 10.6 The school operates a system of moderation to ensure that all appraisers are working to the same standards. Objectives will be moderated across the school to ensure that they are consistent between teachers with similar experience and levels of responsibility.

11. Teacher Standards

- 11.1 Before, or as soon as practicable after, the start of each appraisal period, each teacher (including the head teacher) will be informed of the standards against which that teacher's performance in that appraisal period will be assessed. Teachers (including the

headteacher) will be assessed against the set of standards contained in the document entitled “Teachers’ Standards”, published by the Secretary of State in July 2011, and updated in June 2013.

- 11.2 The headteacher (or the governing body in the case of the headteacher) will need to decide whether certain teachers should be assessed against other sets of standards published by the Secretary of State that are relevant to their performance.
- 11.3 All teachers should be able to demonstrate competence against the relevant professional standards. It is expected that competence will be further developed as a teacher’s career progresses. Teachers’ written appraisal reports must include an assessment of their performance against the standards upon which they are being assessed. It is up to individual schools to decide how detailed those assessments should be, although the Teachers Standards will not be used as a checklist against which the teacher’s performance is assessed.
- 11.4 Where the appraiser believes that a teacher is not meeting one or more of the standards, the head teacher will raise this with the teacher. As part of the appraisal process, teachers cannot be judged to be not performing against a standard, if what the standard requires of the teacher is unclear, without this being made clear, verbally and in writing, beforehand.

12. Classroom Observation

- 12.1 There are a variety of ways to assess/gather evidence of the teacher/headteacher's performance against the objectives set during the appraisal process. Classroom observation is also likely to form part of the review of performance for teachers with a classroom teaching role, as this can be an effective way of assessing teachers’ performance, allowing the identification of any particular strengths and areas for development they may have. It is also a method of obtaining information which can inform school improvement more generally.
- 12.2 All observations under this policy will only be carried out by those with qualified teacher status. Observations will be conducted in a supportive fashion, with professionalism, integrity and courtesy, and should result in a professional dialogue and constructive feedback.
- 12.3 For the purposes of appraisal, teachers’ performance will be observed on an appropriate and reasonable number of occasions which will, as far as possible, be agreed by the appraiser with the appraisee based on the individual circumstances of the teacher and the overall needs of the school.
- 12.4 At least five working days notice of the date and time of the observation will be given. Teachers should be made aware of the purpose(s) of any proposed observation before it takes place, and should have the opportunity to discuss and seek to agree the focus of the observation through a pre-observation meeting if they wish. In the absence of

agreement the appraiser will decide the focus of the observation. Appendix 1 provides a checklist that could be used for discussions.

- 12.5 In exceptional circumstances observations may be rescheduled or a re-observation may be requested by the teacher being observed.
- 12.6 For the purpose of professional development, feedback on lesson observations should be developmental, and not only a judgement using Ofsted grades. Verbal feedback should be provided as soon as is reasonably practicable after the observation, normally within 48 hours of the observation taking place.
- 12.7 The appraiser will produce a statement of written feedback within five working days of the observation. The appraisee should be given a copy of this statement and be given the opportunity to request changes and to make written comments. The amended statement should be returned to the appraiser within five working days of receipt. The final report, which should be signed by both appraiser and appraisee, should be produced within 10 working days of the observation.
- 12.8 The school may use the findings of each observation, including appraisal observations, for other management requirements (for example subject area reviews), thereby seeking to minimise the total number of occasions when teachers are observed.
- 12.9 In addition to formal observation, headteachers or other leaders with responsibility for teaching and learning standards may “drop in” in order to evaluate the standards of teaching and to check that high standards of professional performance are established and maintained. The length and frequency of “drop ins” and the notice to be given will vary depending on specific circumstances.
- 12.10 Teachers (including the headteacher) who have responsibilities outside the classroom should also expect to have their performance of those responsibilities observed and assessed.

13. Development and Support

- 13.1 Appraisal is a supportive process which will be used to inform continuing professional development. The school wishes to encourage a culture in which all teachers take responsibility for improving their teaching through appropriate professional development. Professional development will be linked to school improvement priorities and to the ongoing professional development needs and priorities of individual teachers.
- 13.2 As part of the appraisal process, the teacher’s professional development needs will be assessed and any action that should be taken to address them identified. The impact of any continuing professional development on the appraisee’s performance will be also assessed.

13.3 The School CPD programme will be informed by the training and development needs identified as part of the appraisal process. In this regard, the Governing Body will ensure that in budget planning, as far as possible, resources are made available in the school budget for appropriate development opportunities.

13.4 In the case of competing demands on the school budget in relation to CPD opportunities, a decision on relative priority will be taken by the headteacher with regard to the extent to which:

- The training and support will help the school achieve its priorities; and
- The CPD identified is essential for an appraisee to meet their objectives.

13.5 During the annual assessment/review meetings, account will be taken of circumstances where it has not been possible for the appraisee to fully meet their objectives because any support recorded in the planning statement has not been provided, taking into account the reason why the support has not been provided.

14. Feedback and monitoring

14.1 Appraisees will receive constructive feedback on their performance throughout the year and soon after any observation has taken place or other evidence becomes available. Feedback will highlight particular areas of strength as well as any areas for further development.

14.2 The objectives set for each appraisee will, if achieved, contribute to the School's plans for improving the School's educational provision and performance and to improving the education of pupils at that School. The monitoring of this will be specific to each School. The monitoring that occurs may vary from School to School and will be dependent upon the role the appraisee has in the School.

15. Annual Assessment

15.1 Each appraisee's performance will be formally assessed in respect of each appraisal period. In assessing the performance of the headteacher, the Governing Body must consult the external adviser.

15.2 This assessment is the end point to the annual appraisal process, but performance and development priorities will be reviewed as required throughout the year in interim meetings, particularly where there are concerns about the appraisee's performance.

15.3 The appraisee will receive a written Appraisal Report as soon as practicable following the end of each appraisal period, and have the opportunity to add comments. In this school, the headteacher will receive their written appraisal report by 31 December in each year and all other teachers will receive their written appraisal reports by 31 October in each year, unless exceptional circumstances apply. The appraisal report will include:

- Details of and evaluation of the appraisee's objectives for the appraisal period in question;
- An assessment of the appraisee's performance of their role and responsibilities against their objectives and the relevant standards;
- An assessment of the appraisee's future training and professional development needs and identification of any action that should be taken to address them;
- A recommendation on pay where that is relevant
- Performance objectives with success criteria for the next appraisal period ; and
- A space where the appraisee can add their comments (if they wish).

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

16. Pay Progression

16.1 Where teachers are eligible for pay progression, the recommendation made by the appraiser will be based on the assessment of their performance against the appraisal objectives. The decision made will be based on the criteria outlined within the School's Pay Policy, the statutory criteria and guidance set out in the School Teachers' Pay and Conditions Document (STPCD) and the relevant teacher standards.

16.2 The Governing Body will ensure that decisions on pay progression are made by 31 December in each year for headteachers and by 31 October in each year for other teachers.

17. Appeals

17.1 If the appraisee has any concerns about any aspect of the appraisal process they should in the first instance raise this quickly and informally with the appraiser. It may be that some further explanation or an agreed amendment can resolve the concerns quite quickly.

17.2 After exhausting the matter informally, the appraisee may lodge an appeal in writing to the headteacher setting out their reasons for the appeal. The appeal must be submitted within 5 working days of the objectives or review of performance at the end of the appraisal period being finalised. Appeals will be heard by the headteacher. If the appraisee reports directly to the headteacher, the appeal will be heard by a member of the governing body.

18. Teachers experiencing difficulties

18.1 In situations where the appraisee's performance becomes a cause for concern, additional review meetings may take place and additional support discussed, to assist the appraisee in achieving their objectives. Support will be offered as soon as possible, without waiting for the formal annual assessment.

18.2 Following consultation with the headteacher, the appraiser will write to the teacher concerned informing them of the initial meeting and the reasons for the meeting taking place, advising them that they may be accompanied by a trade union representative or work colleague. This meeting is a transition meeting, which will suspend the appraisal process, and put in place a programme of support and monitoring for the teacher. This meeting does not form part of the formal capability process.

18.3 During any additional meetings, the appraiser will clearly outline the nature of the concerns, so that the appraisee is fully aware of what is required to achieve their objectives.

18.4 The meeting will allow the appraiser to:

- Discuss the specific areas of concerns with the appraisee based on evidence of performance and previous support
- Give the appraisee the opportunity to respond before a decision is made
- Consult the appraisee on their needs for support/development
- Consider whether adequate training and support has been provided
- Consider what would help the appraisee to reach the required standard (for example, counselling, peer review or mentoring)
- Decide a strategy and timescale for improvement and advise accordingly, setting clear targets that can be evaluated as met, partially met or not met (“the Action Plan”)

18.5 At this meeting, the appraiser should explain to the appraisee that the Capability Policy will be invoked if no, or insufficient improvement is made. The appraiser should also explain the implications of this for the teacher and process that will be followed.

18.6 The appraisee’s progress will continue to be monitored as part of the appraisal process and a reasonable time given for the appraisee’s performance to improve. This will depend upon the circumstances but will be for a period of at least six weeks, with appropriate support as agreed in the Action Plan, in order that the aim of recovering and improving performance can be achieved. During this monitoring period the appraisee will be given regular feedback on progress and arrangements will be made to modify or extend the support programme if appropriate.

18.7 If sufficient progress is made such that the appraisee is performing at a level that indicates there is no longer a possibility of the Capability Policy being invoked, the appraisee should be informed of this at a formal meeting with the appraiser or headteacher. Following this meeting the appraisal process will continue as normal.

18.8 If no, or insufficient, improvement has been made over this period, the appraisee will be invited to a formal meeting to determine whether formal capability proceedings need to be commenced or the appraisal process is extended and remains in place with further support provided.

18.9 The formal stage of the capability procedure may also be invoked before any informal discussion or counselling, where it is considered appropriate due to the seriousness of the concerns.

19. Grievances

19.1 Where a teacher raises a grievance during the appraisal or transition to capability process, where the grievance and appraisal or capability cases are related it may be appropriate to deal with both issues concurrently. In some cases, the appraisal or transition to capability process may be temporarily suspended in order to deal with the grievance.

20. Monitoring and Evaluation

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

20.2 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 identify any individual by name. The report will include an assessment of the impact of these policies on the school's teaching staff by reference to the protected characteristics of:

- Race
- Sex
- Sexual Orientation
- Disability
- Religion and Belief
- Age
- Part – time status
- Maternity and pregnancy
- Gender reassignment

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

Appendix 1

The checklist below could be used for discussions between the appraiser and appraisee prior to the observation.

- Has the purpose of the observation been made clear?
- What is the focus of the observation?
- Which lesson or parts of lessons are going to be observed?
- Has there been an opportunity for the teacher being observed to describe the context of the lesson?
- What level of involvement should the observer/appraiser have in the observed lesson?
- When and how should feedback be given?
- What use will be made of any information arising from the observation?