



# **Appraisal Policy For Teaching Staff**

## **Policy**

Appraisal is a supportive and developmental process designed to ensure that all employees have the skills and support they need to carry out their role effectively. It will help to ensure that staff improve their professional practice and continue their professional development.

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## **1. Scope & Purpose**

The Schools Appraisal policy sets out the framework for a clear and consistent assessment of the overall performance of staff and for supporting their development within the context of the school's plan for improving educational provision and performance, and the standards expected of Teachers. The Appraisal policy sets out the arrangements that will apply when Teachers fall below the levels of competence that are expected of them.

This policy applies to all teaching staff, except those with fixed-term contracts of less than one term, Early Career Teachers during their induction programme or Teachers subject to the Capability Procedure.

Where Teachers are eligible for performance related pay progression, the assessment of such performance throughout the appraisal cycle will relate to the Career Stage Expectation Framework (HRSchPP-3 / G-1), relevant workforce standards and objective criteria specified in their planning and review statement. This will be the basis on which the appraiser makes the recommendation.

The Appraisal policy should be read in conjunction with the School's Pay Policy, which provides details of the arrangements relating to the pay of Teachers in accordance with their respective conditions of service as well as the procedure for appealing against decisions made under this policy.

Any actions undertaken within this policy will be consistent with the principles as outlined within the schools policy statement. An Appraisal Flowchart is shown in the guidance document HRSchPP-3 / G-2.

## **2. Appraisal Period**

The appraisal period will run for twelve months, normally commencing in September each year. There is flexibility to have a longer or shorter appraisal period when Teachers begin or end employment with a school or local authority or when unattached Teachers change post within the same authority e.g. to support staff with an untypical working pattern.

Where a Teacher only completes or can only complete part of a cycle, the length of the cycle will need to be determined with a view to bringing it in line with other Teachers as soon as possible.

During the cycle the Appraisee should:

- receive constructive feedback on classroom observation
- provide available evidence/data relating to the objectives undertaken during a review of their performance
- 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.

All evidence gathered during the cycle should be shared with the Appraisee so that they are fully involved throughout the process. This includes ensuring key information is recorded and shared appropriately.

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.

### **3. Links to School Improvement**

This policy has been developed to ensure that the arrangements for appraisal link to those for school improvement, school self-evaluation and school development planning.

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 the Appraisee's objectives with the school's priorities and plans.

The Career Stage Expectations Framework for the School can be found at HRSchPP-3 / G-1. The framework has been built against the national Teacher's Standards and should be used as a guide to support the identification of key priorities and objectives for the School and individual Teachers. The framework should not be used as a checklist to measure the Teacher against each standard. The Career Stage Expectations framework provides a means to implement performance related pay increments detailed in the Schools' Pay Policy assisting with managing pay expectations and providing a basis for equity in pay determination.

The framework also meets the statutory requirement for Teachers to be notified that they are being appraised against the Teachers Standards.

The objectives set within the appraisal cycle should also, where possible, reflect the professional aspirations of Teachers.

### **4. Staff Training & Development**

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 records.

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.

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.

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.

Teachers should not be held accountable for failing to make satisfactory progress towards meeting their performance criteria or overall assessment against relevant workforce standards where the support recorded in the planning statement has not been provided.

## **5. Quality Assurance**

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 setting.

### Quality Assurance (Headteachers)

In relation to the quality assurance of the appraisal arrangements for the Headteacher, the Governing Body will select one of the three options as follows -

- a) Nominate the Chair of the Governing Body, who will not be involved in the Headteachers appraisal or any appeal regarding the Headteacher's appraisal to ensure that the Headteachers planning statement is consistent with the school's improvement priorities, relevant workforce standards and complies with the school's Appraisal policy and appropriate regulations. Or;
- b) Nominate up to 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. Or;
- c) Choose not to quality assure the planning statement.

In any case the Governing Body under the statutory regulations for appraisal must appoint an external adviser to support the appraisal of Headteachers.

### Quality Assurance (Teaching Staff)

The Headteacher will either:

Be the Appraiser for Teachers in school

OR

Delegate the role of Appraiser for some or all Teachers for whom s/he is not the line manager. In these circumstances the Headteacher will either:

- a) Moderate all the planning records to check that the plans recorded for the appraisal 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. Or;
- b) Moderate a sample of planning records to check that the plans recorded in appraisal records 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. Or;
- c) Choose not to moderate any planning records.

In addition the Career Stage Expectation framework (HRSchPP-3 / G-1) will provide a basis for equity in decision making when determining pay increments for Teachers on main scale and UPS pay ranges.

## **6. Appointment of Appraisers**

All Appraisers should be appropriately trained in performance management procedures. They should be qualified Teachers with current or recent teaching experience. 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 employee has the right to object to the appointment of an Appraiser to the Headteacher who will consider this request and make the final decision.

## **7. Objective Setting**

The setting and agreement of objectives is fundamentally important to the effective operation of an appraisal system that aims to link individual performance to pay progression. The objectives set will be rigorous, challenging, 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 a Teacher 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 work. 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.

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

- Objectives for each Teacher will be set before or as soon as practicable after, the start of each appraisal period.

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 agreement cannot be made the Appraiser will make the determination. In such situations the Appraisee may record their objections on the planning statement. The Career Stage Expectation framework (HRSchPP-3 / G-1) provides a basis for assessing where a Teacher is currently performing relative to pay and what might be realistically achievable within the appraisal cycle. This assessment should form part of the appraisal discussion and therefore will help to set expectations of the objectives that can be realistically achieved.

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 realistic number of objectives in any one cycle. For guidance there should be typically three objectives (there is no minimum or maximum number) in any one cycle. Objectives may be revised if circumstances change.

Teachers who, for reasons of maternity or other leave, miss significant periods during the appraisal cycle should have their objectives set and/or reassessed in order to make them realistic and achievable within the timeframe, bringing them into line with the school's appraisal cycle.

## **8. Headteacher Appraisal**

The Headteacher will be appraised by the Governing Body. It is part of the statutory regulations governing appraisals that the Governing Body must be 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 when determining pay.

The Governing Body have delegated to a sub-committee of Governors the responsibility for the appraisal of the Headteacher.

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

The Headteacher has responsibility for appraisal of all other teaching staff within school

## **9. Teaching Staff Appraisal**

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 either;

- (a) they will be the Appraiser for all Teachers in this school or;
- (b) they will be the Appraiser for those Teachers they directly line manage and will delegate the role of Appraiser 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

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.

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.

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

## **10. Classroom Observation**

This school believes that observation of classroom practice and other responsibilities is important both as a way of assessing performance in order to identify any particular strengths and areas for development Teachers may have, as well as a way of gaining useful information which can inform school improvement more generally.

All such observations will be carried out in a supportive fashion. The amount and type of classroom observations are dependent upon the individual circumstances of the Appraisee and the overall needs of the school (typically three but there is no minimum or maximum). All classroom observations will be undertaken in line with the classroom observation guidance at HRSchPP-3/G-3. In addition to formal observation, Headteachers or other leaders with responsibility for teaching 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 in" observations will vary depending on specific circumstances.

Where evidence emerges about the Appraisee's performance, which gives rise to concern during the cycle, additional observations may be arranged during the cycle.

It is important that reasonable notice is given of an observation and feedback to the Teacher is given soon after. Feedback should be recorded and shared with the Teacher.

## **11. Teachers Experiencing Difficulties / Support**

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's 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.

Inherent in the role of the Appraiser is the responsibility to monitor the performance of the Appraisee and to regularly discuss with them their standard of work. When dealing with a Teacher experiencing difficulties, the objective is to provide support and guidance through the appraisal process in such a way that the Teacher's performance improves and the problem is, therefore, resolved. It is particularly important that any failure, or potential failure, to meet the agreed objectives is discussed with them at the earliest opportunity.

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.

Where it is apparent that a Teacher's personal circumstances are leading to difficulties at school, support will be offered as soon as possible, without waiting for the formal annual assessment.

If an Appraiser identifies through the appraisal process, or via other sources of information, for example parental complaints, that the difficulties experienced by a Teacher are such that, if not rectified, could lead to capability procedures the appraiser, the Headteacher, or a member of the leadership team, will, as part of the appraisal process meet the Teacher to:

- give clear written feedback to the Teacher about the nature and seriousness of the concerns;
- give the Teacher the opportunity to comment on and discuss the concerns;
- give the Teacher at least 5 working days' notice that a meeting will be held to discuss targets for improvement alongside a programme of support, and inform the Teacher that he/she has the right to be assisted by a representative of an independent trade union or work place colleague, and at any future meetings where capability will be discussed;
- in consultation with the Teacher at the above meeting, an action plan with support will be established (for example coaching, training, in-class support, mentoring, structured observations, visits to other classes or schools or discussions with advisory Teachers), that will help address those specific concerns;
- make clear how progress will be monitored and when it will be reviewed;
- explain the implications and process if no – or insufficient – improvement is made.

The Teacher's progress will continue to be monitored as part of the appraisal process and a reasonable time given for the Teacher's performance to improve. This will depend upon the circumstances, but will be for a set period, 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 Teacher will be given regular feedback on progress and arrangements will be made to modify the support programme if appropriate.

If sufficient progress is made such that the Teacher is performing at a level that indicates there is no longer a possibility of capability procedures being invoked the Teacher should be informed of this at a formal meeting with the appraiser or Headteacher. Following this meeting the appraisal process will continue as normal.

If no, or insufficient, improvement has been made over this period, the Teacher will be invited to a transition meeting to determine whether formal capability proceedings need to be commenced or the appraisal process remains in place. The Teacher may be assisted by a trade union representative or work colleague and will have at least 5 working days notice of the meeting.

If a Teacher is not expected to meet their objectives during the appraisal cycle they should be notified that under the Pay Policy they will not receive (if eligible) any pay increments (template letter HRSchPP-3/G-4).

## **12. Suspension of the Appraisal Policy**

Where the Appraiser has undertaken the support highlighted in the paragraph above (Teacher Experiencing Difficulties / Support) but there are still serious concerns regarding the Appraisee's performance, 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 determine if the Appraisal policy should be suspended and the capability policy and procedure to be invoked. If so, the Headteacher will liaise with the Local Authority HR Service Team for advice and to ensure appropriate evidence is in place. Where such a determination is made by the Headteacher, the Appraisee will be notified in writing that the appraisal system will no longer apply and that their performance will be managed under the School's Capability Procedure.

## **13. Annual assessment**

Each Teacher'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.

This assessment is the end point to the annual appraisal process, but performance and development priorities will be reviewed and addressed on a regular basis throughout the year in interim meetings which will take place (eg once a term).

The Teacher will receive as soon as practicable following the end of each appraisal period – and have the opportunity to comment in writing on - a written appraisal report.

In this school, Teachers will receive their written appraisal reports by 31 October (31 December for the Headteacher). The appraisal report will include:

- details of the Teacher's objectives for the appraisal period in question;
- an assessment of the Teacher's performance of their role and responsibilities against their objectives based on the career stage expectation framework / teachers standards;

- an assessment of the Teacher's professional development needs and identification of any action that should be taken to address them;
- a recommendation on pay where that is relevant (NB – pay recommendations need to be made by 31 December for Headteachers and by 31 October for other Teachers);

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

Where a teacher, for reasons of maternity leave or other leave, has been absent from work for the whole appraisal cycle the annual assessment should take account of previous performance management reviews.

#### **14. Appeals**

The Governing Body have established procedures to ensure an Appraisee can appeal against any entry on their appraisal records, including any changes made during the cycle. Where an Appraisee wishes to appeal on the basis of more than one entry this would constitute one appeal hearing.

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

Details of the appeals process is covered in the Schools Pay Policy.

#### **15. Monitoring & Evaluation**

The Governing Body will monitor the operation and outcomes of performance management arrangements.

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 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.

This Policy will be applied fairly and consistently regardless of a person's gender, gender identity, marital or civil partnership status, pregnancy or maternity, employment status, sex, sexual orientation, gender reassignment, 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 have been invited to provide personal data which assists with monitoring.

The Headteacher will, therefore, also report annually to the Governing Body, in a confidential section, appropriate details of:

1. any appeals or representations on an individual or collective basis on the grounds of alleged discrimination under any of the categories above in relation to appraisal
2. cases, including the circumstances, where Teachers have not made satisfactory progress towards objectives
3. any instances where the training and development set out in the training and development annex of a planning and review statement has not been provided

Where the relevant personal data is available the Headteacher will include an analysis of the cases specified in 1 to 3, above. However, the report will not enable any individual to be identified.

## **16. Confidentiality**

The whole appraisal process and the records generated under it will be treated with strict confidentiality at all times. Access will therefore be limited to the following

- the Appraisee's line manager(s) to enable them to discharge her/his line management responsibilities.
- the Headteacher / Governors who are 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.
- HR representatives supporting the school

## **17. Documentation and Records**

### Records

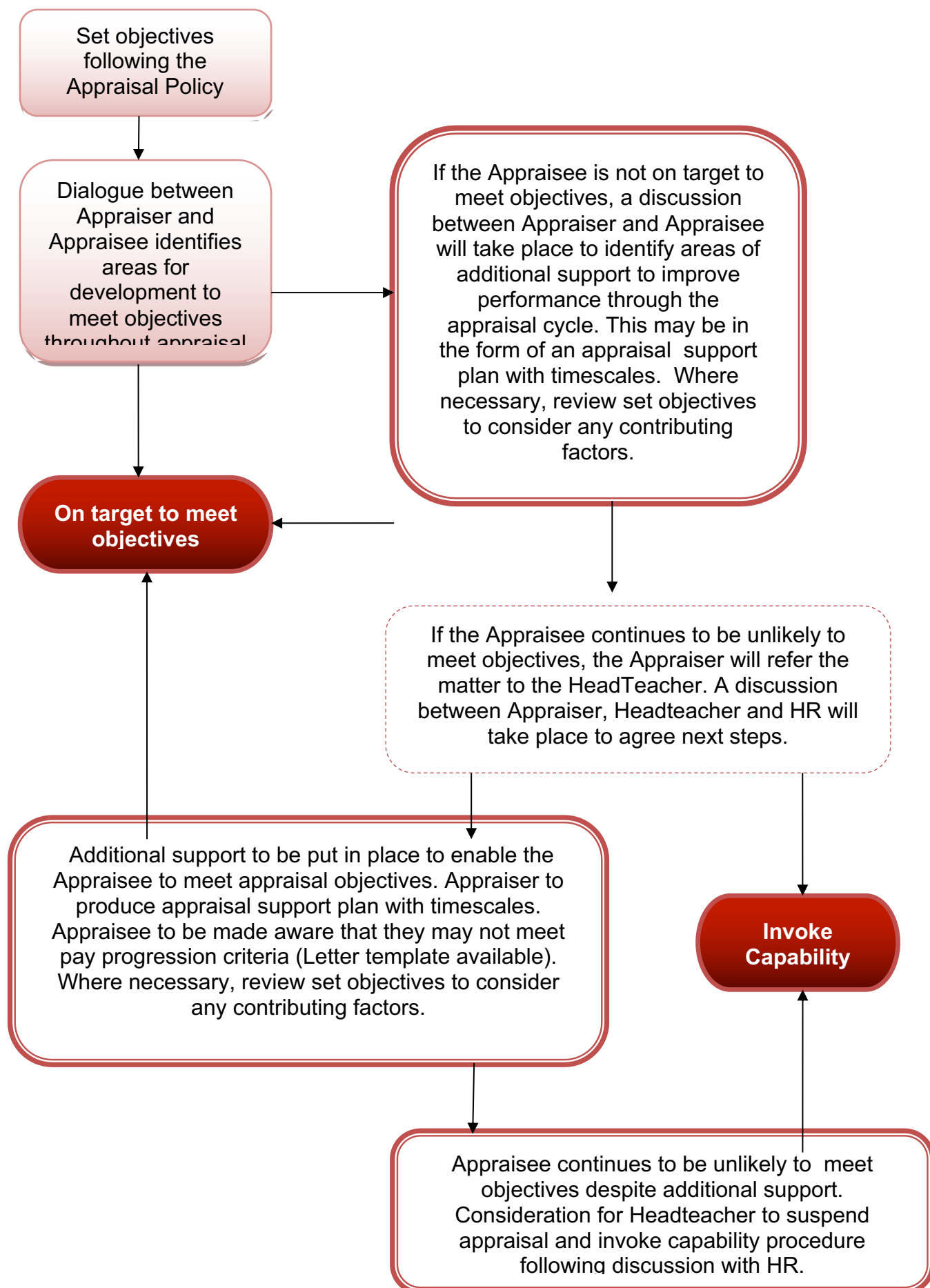
Appraisal records and pay statements will be retained for a minimum period of 6 years. Access to this information is limited to those groups identified in Confidentiality section of this policy.

### Access to documentation

Copies of the school improvement plan; school self-evaluation and development planning, as well as relevant workforce standards are published on the school's intranet and/or can be obtained from the school office.

### Documentation

<b>HRSchPP-3 / G-1</b>	<b>:</b>	<b>Career Stage Expectations Framework – see separate document</b>
<b>HRSchPP-3 / G-2</b>	<b>:</b>	<b>Flowchart to support the Appraisal Process</b>
<b>HRSchPP-3 / G-3</b>	<b>:</b>	<b>Classroom Observation Guidance</b>
<b>HRSchPP-3 / G-4</b>	<b>:</b>	<b>Template letter to confirm no pay increments during suspension of the appraisal process</b>
<b>HRSchPP- 13</b>	<b>:</b>	<b>Pay Policy</b>



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.

Observation of classroom practice and other responsibilities is important both as a way of assessing Teachers' performance in order to identify any particular strengths and areas for development they may have and of gaining useful information which can inform school improvement more generally. All observation will be carried out in a supportive fashion.

Teachers' performance will be regularly observed but the amount and type of classroom observation will depend on the individual circumstances of the Teacher and the overall needs of the school. Observations are typically held three times in an appraisal cycle but there is no set minimum or maximum. Classroom observation will be carried out by qualified Teachers with current or recent teaching experience. In addition to formal observation, Headteachers or other leaders with responsibility for teaching 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 in" observations will vary depending on specific circumstances. *Drop-ins* will be undertaken with minimum disruption to Teachers and pupils and in a supportive and professional manner

The arrangements for classroom observation will be confirmed with reasonable notice 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.

Constructive feedback will be given as soon as possible after the observation. Relevant records should be kept for reference purposes to support the appraisal process and ensure there is transparency and clarity of key discussions/observations.

Headteachers have a duty to evaluate the standards of teaching and learning and to ensure proper standards of professional performance are established and maintained throughout the school. Information gathered during the appraisal process may be used for a variety of purposes, including informing school self-evaluation and school improvement.

## Template letter for Appraisal Support / No pay increments if objectives not met

HRSchPP-3/G-4

School Letterhead

Date

**Private and Confidential**

Name

Address

Address

Postcode

Dear Name

### **Appraisal Support / Pay Increments**

You are currently receiving additional support to enable you to meet your objectives following concerns raised to me regarding your performance by your appraiser. You should be aware that under the Pay Policy a Teacher who does not meet the expected standards on completion of the appraisal cycle would not receive a pay increment if they are eligible for one.

You should ensure that open discussions continue with your appraiser throughout the year to ensure the support in place is effective to give you the best opportunity to meet the expected professional standards and your individual appraisal objectives.

Should you have any queries at all throughout this process, please let me know.

Yours sincerely

Name

Headteacher

Copy to: HR Contact Officer