

# Rodney House



## Teaching Staff Appraisal Policy

Reviewed and Approved by Governing Body: September 2017

Signed.....Chair of Governors

Date.....

## Introduction

Revised appraisal arrangements are effective from 1 September 2012. They are set out in the Education (School Teachers' Appraisal) (England) Regulations 2012 (the Appraisal Regulations) which replace the Education (School Teacher Performance Management) (England) Regulations 2006 (the 2006 Regulations). The 2006 Regulations continue to apply to any performance management cycle which is in progress on 1 September 2012, unless the governing body decides to end that cycle early and to begin a new appraisal period starting on or after that date.

The Appraisal Regulations set out the principles that apply to teachers in all maintained schools where they are employed for one term or more. They retain the key elements of the 2006 Regulations but allow schools more freedom to design arrangements to suit their own individual circumstances. They provide the minimum national framework within which schools should operate.

If they wish, schools may include in their own policies details that are no longer covered by the Appraisal Regulations.

Schools must stay within the legal framework set out in the Appraisal Regulations and in other relevant legislation that affects all employers (for example legislation on equality, employment protection and data protection). Schools must have an appraisal policy for teachers and a policy, covering **all** staff, which deals with lack of capability (see separate policy document).

This policy combines statutory requirements and elements of guidance that is both new and adapted from the previous Performance Management arrangements.

The Governing Body is committed to ensuring consistency of treatment and fairness and will abide by all relevant equality legislation. They will improve outcomes for children by motivating staff to update their skills and improve their performance.

**Statutory requirements contained in the Appraisal Regulations or the School Staffing Regulations are indicated by the symbol \***

## Definitions

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

**\* The policy applies to the Headteacher and to all teachers employed by the school, except those on contracts of less than one term, those undergoing induction (i.e. NQTs) and those who are subject to capability procedures i.e. staff about whose performance there are serious concerns that the appraisal process has been unable to address.**

## Purpose

Appraisal in this school is both a developmental and supportive process designed to ensure that staff are able to continually improve their professional practice. Appraisal will set objectives and provide support to ensure that staff have the skills they need to carry out their role effectively and with reference to the appropriate standards (e.g. Teaching Standards). Appraisal is only one element of the performance

management of an individual member of staff and the appraisal process should be seen in this context.

**\* The appraisal period will run for twelve months** from September to September in the majority of cases. Staff who are employed on a fixed term contract of less than one year will have their performance managed in accordance with the principles underpinning this policy.

**\* The length of the period will be determined by the Headteacher taking into account the duration of their contract.** The Headteacher may decide on a longer or shorter appraisal period when staff take up posts other than at the start of the academic year.

## **1. Appraisal meetings**

- Meetings will normally be scheduled with five days' notice.
- Appraisal meetings will take place within the established directed time schedule.
- If this proves to be impracticable the appraiser must agree alternative arrangements that are acceptable to the appraisee.

## **2. Appraisers**

**\* 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.**

In this school the task of appraising the Headteacher, including the setting of objectives, will be delegated to a sub-group consisting of three members of the Governing Body. If required, the school may be assisted by an adviser from an HR provider.

**\* The Headteacher will decide who will appraise other staff.**

Unless otherwise appropriate (as determined by the Headteacher), the appraiser for teachers will normally have Qualified Teacher Status (QTS). The appraiser will normally be a teacher's line manager.

## **3. Setting objectives**

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

**\*Objectives for each teacher will be set before or as soon as practicable after, the start of each appraisal period.** The objectives set for each appraisee will be Specific, Measurable, Achievable, Realistic and Time-bound and will be appropriate to the role and level of experience and will reflect priorities for an individual for the cycle. The number of objectives set will be reasonable. For whole school or team objectives especially, they will reflect the school's priorities.

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

**\* Before, or as soon as practicable after, the start of each appraisal period, each teacher will be informed of the standards against which that teacher's performance in that appraisal period will be assessed.** Appraisal is an assessment of overall performance but objectives cannot cover the full range of roles and responsibilities. Objectives will, therefore, focus on the priorities for an individual for the cycle. The appraiser and appraisee will seek to agree the objectives but, if that is not possible, the Headteacher will determine the objectives and any objections will be noted. Objectives may be revised if circumstances change. On occasions during a review cycle, usually as a result of unplanned circumstances, it may be considered that an objective set at the start of the process is no longer appropriate or requires some adjustment. The number of objectives set would not normally exceed three but may do so in circumstances determined by the Headteacher.

All teachers will be assessed against the set of standards contained in the document entitled "Teachers' Standards" the current version of which was published in May 2012. The Headteacher or governing body (as appropriate) will consider whether any teachers should also be assessed against other sets of standards that may be published by the Secretary of State that are relevant to them.

#### **4. Pay progression**

Where teachers are eligible for pay progression, the recommendation made by the appraiser will be based on the assessment of their performance as specified in the pay policy. This will include

- progress against the agreed objectives
- impact on pupil progress
- impact on wider outcomes for pupils
- improvements in specific elements of practice identified to the teacher, e.g. behaviour management or lesson planning
- contribution to the work of the school
- impact on the effectiveness of staff and colleagues
- meeting the teachers standard

Appendix 1 shows how expectations increase as a teacher progresses through the pay points. Appendix 2 shows the different areas a teacher's performance will be assessed against. These individual assessments will inform an overall assessment of the teacher's performance. Note in accordance with the pay policy a teacher's overall performance cannot be assessed as good unless teaching and pupil progress have also been assessed as at least good. Similarly, a teacher's overall performance cannot be assessed as outstanding unless teaching and pupil progress are outstanding.

Teachers may submit additional evidence to support pay progression if they wish to do so. The decision made by the relevant decision-making body will be based on the statutory criteria and guidance set out in the STPCD and the relevant teacher standards.

The Governing Body has agreed the pay policy of the school and has considered the implications of the appraisal policy with respect to the arrangements relating to teachers' pay in accordance with the School Teachers' Pay and Conditions Document. The Governing Body will ensure that decisions on pay progression are made by 31 December for head teachers and by 31 October for other teachers.

## **5. Reviews of performance**

The Governing Body believes that observation of key responsibilities is important both to assess performance and identify any particular strengths and areas for development a colleague may have and for gaining useful information which can inform school improvement more generally. All observations will be carried out to support a culture of continuous improvement and will be a developmental activity.

An observation calendar will be published and formal observations will not normally exceed 3 hours in any one cycle. For classroom based staff the number of observations will vary depending on the developmental objectives of individuals. The principle of 'proportionate to need' and reasonableness will apply and will normally be decided through discussion with the individual.

At least 5 working days' notice of the time and date of the observation and verbal feedback provided by at least the end of the next school day and written feedback within 5 working days, unless circumstances make this impossible.

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

Evidence: The evidence that the school will use to assess performance against objectives set will clearly demonstrate impact on pupil progress and may include but not be limited to the following:-

- Self-assessment
- Peer review
- Tracking pupil progress/pupil progress data
- Lesson observations
- Quality of teaching against the Teachers' Standards, including observed practice
- Continuing professional development records
- Received feedback

In this school assessments of performance will be made against the extent to which teachers have met their individual objectives and the relevant standards and how they have contributed to:-

- The impact on progress of pupils
- The attainment of wider outcomes for pupils

- Personal improvements in specific elements of practice, e.g. behaviour management, lesson planning
- The impact on effectiveness of other teachers and staff
- The life of the school community

**In the case of Upper Pay Range teachers and lead practitioners, evidence of their significant and sustained contribution beyond their own classroom and their impact on the wider school will also be required.**

## **6. Classroom Observation Protocol**

The Governing Body is committed to ensuring that classroom observation is developmental 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 arrangements for classroom observation will be included in the appraisal documentation and will include the purpose of observation, any particular aspects of the teacher's 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.

Information gathered during the observation will be used, as appropriate, for a variety of purposes including to inform 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 staff.

In keeping with the commitment to developmental and supportive classroom observation those being observed will normally be notified in advance. Classroom observation will only be undertaken by those who have 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.

In addition the Headteacher may 'drop in' when appropriate to monitor standards – and this may be delegated to others in senior positions by the Headteacher.

Oral feedback will be given as soon as possible after the observation and unless this is not feasible, no later than the end of the following working day. It will be given in a suitable, private environment and unless this is not feasible, during directed time.

Written feedback will be provided within five working days of the observation taking place. If issues emerge from an observation that were not part of the focus of the observation these will also be covered in the written feedback and the appropriate action taken in accordance with the regulations and guidance.

The written record of feedback will include the date on which the observation took place and details of the lesson observed. The teacher may append written

comments on the feedback document. No written notes in addition to the written feedback will be kept, except where a concern about a colleague's performance requires this.

## **7. Development and support**

Appraisal is a developmental process which will be used to inform continuing professional improvement and development. The governing body wish to encourage a culture in which all staff take responsibility for improving their performance through appropriate professional development. Professional development will be linked to school improvement priorities and to the on-going professional development needs and priorities of individuals and teams. The school's CPD programme will be informed by development needs identified during the appraisal process.

The Governing Body will make appropriate but affordable resources available to support staff development arising from the appraisal process. The Headteacher will report – as required – to the full Governing Body each year on CPD activities.

Where CPD is identified by mutual agreement as key to the improvement of an individual, they will not be held responsible for lack of progress against agreed priorities if necessary agreed resources are not provided.

## **8. Feedback**

Staff will receive constructive feedback on their performance throughout the year and as soon as practicable after observation has taken place or other evidence has come to light. Feedback will highlight particular areas of strength as well as any areas that need attention.

Where there are concerns about any aspects of an individual's performance they will receive appropriate support as part of the appraisal process. The support to be offered will be agreed in advance and could, for example, include classroom observation alongside or in addition to additional training or visits to other classes/establishments.

In these circumstances the appraiser will meet the employee formally to:

- give clear feedback about the nature and seriousness of the concerns;
- give the colleague the opportunity to comment and discuss the concerns;
- identify any support (e.g. coaching, mentoring, structured or peer observations), that will be provided to help address those specific concerns;
- make clear how, and by when, the appraiser (or other colleague) will review progress but allowing sufficient time for improvement and this may include further supportive observations. The amount of time will be dependent upon the circumstances but will reflect the seriousness and the nature of the concerns.
- explain the implications and process if no or insufficient improvement is made, (i.e. progression to the capability procedure) (see Transition to Capability Section).
- confirm the timescale for review of progress
- the outcome of any such meeting will be confirmed in writing to the employee.

- when progress is reviewed, if the appraiser is satisfied that the employee is making sufficient improvement, this will be acknowledged and the appraisal process will continue as normal, with any remaining issues continuing to be addressed through that process.
- the employee may be accompanied by a friend or their trade union representative at meetings if concerns arise about performance and there is a possibility that there could be a transition to the capability procedure.

## 9. Transition to capability

If the appraiser is not satisfied with progress, the member of staff will be notified in writing that the appraisal process will no longer apply and that their performance will be managed under the capability procedure and they will be invited to a formal capability meeting. The capability procedures will be conducted in accordance with the capability procedure.

In the case of a Headteacher the Chair of Governors will normally conduct the Formal Capability and Review meetings. In the case of other staff, the Headteacher will normally conduct the Formal Capability and Review meetings.

The person conducting the meetings detailed above may be assisted and accompanied by an adviser from One Education Specialist Management Services or another nominated HR provider.

## 10. 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 of performance and development priorities will be reviewed throughout the year. Appraisers may arrange less formal 'catch-ups' alongside routine management arrangements.

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 and continuous progress towards the achievement of a challenging objective, even if the performance criteria have not been met in full, will normally be assessed favourably.

**\*All staff will receive their written appraisal report as soon as is practicable following the end of each appraisal period** and have the opportunity to comment in writing on this.

**\*The appraisal report will include:**

- details of individual objectives for the period in question;
- **\*an assessment of the teacher's performance of their role and responsibilities against the objectives and the relevant standards and their level of responsibility and experience.**
- **\*an assessment of the teacher's training and development needs and identification of any action that should be taken to address them;**



- **\* a recommendation on pay where that is relevant**

The assessment of performance and of training and development needs will inform the planning process for the following appraisal period. The objectives for the next appraisal period may be discussed and set at this meeting or at a separate meeting arranged for that purpose. Performance management review statements are confidential to the Headteacher, appraiser and appraisee.

### **Retention of documents**

Appraisal documentation will be retained in school for a period of 6 years after the end of the appraisal cycle in a secure place and will then be destroyed. In exceptional circumstances, the School's Appraisal Practices could be subject to an Internal Audit by the Local Authority or other body. Assessment paperwork might be reviewed for this purpose.

### **Appeals**

Appraisees have a right of appeal against any entries in the written appraisal report. Details of the appeals process are available from the head teacher or the school governing body. Where the head teacher has not been recommended for pay progression he/she will be informed by the appropriate governor. The head teacher will notify any teacher who has not been recommended for pay progression. The head teacher will notify any teacher who has not been recommended for pay progression of the date when the governing body meets to consider pay recommendations, following which the teacher (and head teacher when they head has not been recommended for pay progression) may exercise the right of appeal, assisted by a companion who may be a colleague, a trade union official or a trade union representative.

### **Monitoring and evaluation**

The governing body will review the impact of appraisal annually.

The Headteacher will provide the governing body with a written report on the operation of the school's appraisal policy. The report will not contain any information which will enable any individual to be identified. The report will include:

- the operation of the appraisal policy;
- the effectiveness of the school's appraisal procedures;
- identified training and development needs.
- instances where the training and development set out in the training and development annex of an appraisal has not been provided with a brief explanation
- Number who have fully achieved objectives
- Number who have partially achieved objectives but with acceptable reasons
- Number who have partially achieved objectives with unacceptable reasons
- Number who have not achieved their objectives

The Governing Body have approved the use of the attached appendices. It should be noted that although these are deemed to be useful for capturing information, their use is not compulsory by individual members of staff.

## Appendix 1

### Teacher Standards Career Stage Expectations

#### Initial Assessment and Audit- Confidential

Name

Pay Point

Date

Professional Area	Relevant Standards	M2	M4	M6	UPS 1	UPS3
<b>Professional Practice</b>	1.1 (1) 1.2( 2,3,5) 1.3(1,3) 1.4 (1,2,3) 1.5 all 1.6( 1) 1.7 (1,2,3) 1.8 (3) 2.1 (2,4) Preamble	All teaching satisfactory; much good or better	All teaching good or better	All teaching good; some outstanding. Support colleagues through appraisal including observation to improve practice	All teaching good; most outstanding. Works with SLT to plan and implement support plans for staff at all bases	All teaching good; most outstanding Plans and implements support plans for staff at all levels
<b>Professional Outcomes</b>	1.1 (2) 1.2 (1,2,3) 1.5 (1) 1.6 (3,4) Preamble	Most pupils achieve in line with school expectations	Almost all pupils achieve in line with school expectations, some exceed them	Almost all pupils achieve in line with school expectations; many exceed them	Almost all pupils achieve in line with school expectations; most exceed them. Leads on accountability re.planning and embedding specialist interventions into practice	Almost all pupils achieve in line with school expectations; most exceed them. Uses data to hold colleagues to account and implements support towards change
<b>Professional Relationships</b>	1.1 (1) 1.6 (4) 1.7 (4) 1.8 (2,3,5) 2.1 (1,3,4) Preamble	Positive working relationships with pupils, colleagues and parents	These relationships are securely focussed on improving provision for pupils	Professional relationships with pupils, colleagues and parents lead to excellent class provision	Plays an active role in building key stage or departmental teams to improve provision and outcomes	Plays a proactive role in building school wide teams to improve provision and outcomes. Lead on training to develop and improve practice.

<b>Professional Developments</b>	1.2 (4,5) 1.3 (1,2,4,5) 1.4 (5) 1.5 (2,3,4) 1.6 (1) 1.8 (4) 2.1 (2) 2.3 Preamble	Able to support, to identify key professional development needs and respond to advice and feedback	Takes a proactive role in accessing relevant support and professional development from colleagues	Fully competent practitioner able to keep up to date with changes and adapt practice accordingly. Plays pro-active role in CPD of colleagues/teams.	Plays a proactive role in leading the professional development of key stage or departmental colleagues. Works with SLT to produce action/support plans.	Plays a leading role in the professional development of colleagues across the school Works with the SLT to analyse impact on progress across whole school.
<b>Professional Conduct</b>	1.1 (3) 1.7 (1) 1.8 (1) 2.1 all 2.2, 2.3 Preamble	Meets all standards	Meets all standards	Meets all standards	Meets all standards	Meets all standards

+ Performance may exceed career stage expectations - Performance may be below career stage expectations

## Appendix 2- Assessment of Performance

	Grade	Rationale
<b>Performance management objectives</b>		
<b>Teaching</b>		
<b>Pupil progress</b>		
<b>impact on wider outcomes for pupils</b>		
<b>Improvements in specific elements of practice identified to the teacher, e.g. behaviour management or lesson planning</b>		
<b>contribution to the work of the school</b>		
<b>impact on the effectiveness of staff and colleagues</b>		
<b>Teaching Standards</b>		

**Overall Grade** Outstanding/ Good/ Requires Improvement/ Unsatisfactory

**Comments**

**Pay progression recommendation** \_\_\_\_\_

**Reviewee comments on the report above.**

**Signed;** \_\_\_\_\_ **Date:** \_\_\_\_\_

**Headteacher:** \_\_\_\_\_ **Date:** \_\_\_\_\_

**For each category a teacher can be graded outstanding, good, requires improvement or unsatisfactory. An overall judgement will be made based on the individual grades but an overall good can only be achieved if teaching and pupil progress is at least good. Similarly an overall judgement of outstanding can only be made if teaching and pupil progress are outstanding.**

## Appendix 3-

### PREPARATION FOR REVIEW DISCUSSION

<b>Name</b>	<b>Job Title</b>
<b>Department</b>	<b>Appraiser</b>
<b>Line Manager</b>	<b>Appraisal Period</b> From _____ to _____

Use this form to help you think about the your role before your Appraisal discussion on:

**Date** \_\_\_\_\_ **Time** \_\_\_\_\_

In completing this form bullet points may be useful to write the most important information. Everything you write will help your Appraiser to make the discussion positive and useful.

Please return a completed copy of this form to your Appraiser at least **one week** before the meeting.

*Using the teachers' professional standards as a baseline, what progress have you made in your development as a teacher?*

*Which parts of your job do you consider you do well?*

*Are there any parts of your job that you have difficulties with? Are there any particular issues that cause you problems? What do you think could be done to overcome any problems?*

*What do you think have been your most important achievements over the last year?*

*Is there anything else in your work that you would like to provide information about (i.e. something you are proud of that your Appraiser might not know about)?*

*What would help you to do your job better? (Training, shadowing other staff, working in another part of the school for example).*

*Which professional standards should you be focussing on in the coming year?*

*Looking to the future, what do you think your objectives for next year should be?*

*Are there any other points which you would like to raise at your Appraisal?*

Rodney House Teacher Appraisal Record

<b>Name/appraisee:</b>		<b>Post held:</b>		
<b>Name and role of line manager/appraiser:</b>				
<b>Date of planning meeting:</b>		<b>Date of review:</b>		
<b>Wishes to be considered for post threshold</b>		<b>Yes/No</b>		<b>JD reviewed</b>
				<b>Yes/No</b>
<b>Objective</b>	<b>Success criteria</b>	<b>Evidence including lesson observations</b>	<b>Training and development needs/</b>	<b>Teacher standards will meet</b>
1.				
<p>Comments: When setting objectives think about baseline evidence i.e. where are the pupils/teachers/service now, where do they want/need to be and how will they get there. At the end of the cycle the same evidence can be measured to show impact            Mid year/end of year review (Progress (so far)? Impact?)</p>				



2.				
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Comments: When setting objectives think about baseline evidence i.e. where are the pupils/teachers/service now, where do they want/need to be and how will they get there. At the end of the cycle the same evidence can be measured to show impact  
 Mid year/end of year review (Progress (so far)? Impact?)

3.				
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Comments: When setting objectives think about baseline evidence i.e. where are the pupils/teachers/service now, where do they want/need to be and how will they get there. At the end of the cycle the same evidence can be measured to show impact  
 Mid year/end of year review (Progress (so far)? Impact?)

**Assessment of overall performance**

**Recommendation for pay progression (where applicable)**