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Headteachers & Chairs of Governors

Dear Colleague

Appraisal Policy

The attached model Local Authority (LA) Appraisal Policy has been revised from the version issued for September 2012. Although the Appraisal regulations have not changed in 2013, the reforms in the School Teachers' Pay and Conditions Document (STPCD) governing teachers' pay arrangements generated the necessity for clarifications in the policy.

I am pleased to report that the 2013 LA model Appraisal Policy has been the subject of full consideration and negotiation with the recognised unions and professional associations, representing teachers and headteachers, at Schools Joint Consultative Committee (SJCC). The policy has been formally agreed through this body and is recommended to schools for adoption.

Classroom Observation Protocol

This policy has an attached classroom observation protocol which defines the maximum number of observations as 3 per year and each visit limited to one hour in duration. Colleagues will be aware that the regulations provide for headteachers to conduct an undefined number of observations, relative to the context of the school and the teacher's circumstances. You will also be aware that two of the teachers' trade unions/associations have balloted to take industrial action where the limit outlined above is exceeded.

In formulating the LA recommended policy, account has been taken of feedback provided by headteachers, that the limit of 3 observations was generally sufficient for schools' performance management and linked quality assurance processes. It was noted that schools had adopted this pattern under the previous regulations and, finding their procedures fit for purpose, sustained this practice when the regulations changed in 2012.

Teachers Experiencing Difficulty

As previously, the policy makes provision for additional observations to be arranged where there is cause for concern regarding a teacher's practice. Thus, the policy does not constrain schools from addressing issues of performance and, with the addition of the Appendix,

'Teachers Experiencing Difficulty – Advice on Informal Structured Support and Monitoring', it provides a framework and additional guidance for school leaders tackling concerns about teachers' practice.

Colleagues will remember that the 2012 regulation changes removed the procedures for first addressing issues of underperformance, through informal structured support, from the competence procedure into the appraisal process.

Monitoring Progress

One aspect of the policy which attracted alternative views between members of SJCC, related to the conduct of in-year meetings. The policy recognises that there is no requirement to schedule formal meetings to review progress through the year. There is, however, a very important need to maintain professional dialogue to ensure appraiser and appraisee are both clear about whether progress is on track or whether any adjustments are advisable.

It is advised that headteachers, in consultation with their staff, determine how this is best managed in the context of the school. On the one hand there is a commitment to avoid unnecessary workload and bureaucracy and, on the other, the recognition that the appraisal process is a priority both in enabling teachers to develop/progress and schools to improve. Clearly the occasions when teachers receive feedback on observations could provide opportunities for appraiser and appraisee to 'touch base' on the overall progress towards objectives and how planned CPD is impacting. The watch words of the previous performance management regulations are still good advice – there should be 'no surprises'!

Policy Adoption

The issue of the Appraisal Policy concludes the successful agreement of all three policies key to this area of staff management and leadership (Pay Policy, Appraisal Policy and Competence Procedure), providing schools who adopt them with a comprehensive framework within which to work.

The new policy will need to be formally adopted by the Governing Body and it is important to ensure staff are fully conversant with the document. In particular, appraisers need to be clear of their responsibilities and appraisees familiar with the implications for them. If schools decide to adopt alternative policies they need to first conduct formal consultation with their staff and with the trade unions/professional associations.

If you have any queries about the policy or its operation, please contact your HR Advice and Guidance team contact.

Yours sincerely



Beverley Smith
HR Service Partner

TEACHER APPRAISAL

A sample policy for Schools, reflecting the 2012 changes to Appraisal Regulations, 2013 School Teachers' Pay and Conditions Document and relevant guidance.

Date Reviewed: September 2013

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Please note-statutory requirements from The Education (School Teachers' Appraisal) (England) Regulations 2012 are shown in **bold** below, other recommended content either from

the DfE model policy or from the Local Authority is shown in plain type and statements which schools are encouraged to consider, as relevant for their own school, are shown in *italics*.

Policy for Appraising Teacher Performance

The Governing Body of _____ School adopted this policy on _____

It will review it in *(insert date or number of years)*

(The Governing Body is required to adopt and make available to teachers employed at the school a document which sets out the appraisal process for such teachers.)

1. Purpose

This policy sets out the framework for a clear and consistent assessment of the overall performance of teachers, including the head teacher, and for supporting their development within the context of the school's plan for improving educational provision, performance and the standards expected of teachers. The school is committed to providing high quality professional development that supports pupils in achieving their potential. The policy is intended to reflect the principles of fairness, equity and confidentiality.

In accordance with the School Teachers' Pay and School Teachers' Pay and Conditions Document (STPCD) 2013, decisions regarding the pay progression of teachers will be made on the basis of performance, with reference to the teachers' appraisal reports and the pay recommendations they contain.

2. Application of the Policy

The policy applies to the head teacher and to all teachers employed by the school, except those on contracts of less than one term, those undergoing an induction period, in accordance with the induction arrangements for school teachers (ie Newly Qualified Teachers), and those subject to the Formal Competence Procedure. *(Wherever school terms are cited in this policy, this refers to the standard 3 term school year)*

Appraisal in this school will be a supportive and developmental process, intended to foster professional dialogue between colleagues and designed to ensure that all teachers have the skills and support they need to carry out their role effectively. It will contribute to ensuring that teachers are able to continue to improve their professional practice and to develop as teachers.

All appraisal activities will take place within the teacher's directed time, but not within PPA time.

This policy is complemented by the School's Pay Policy which details arrangements relating to the determination of teachers' pay, in accordance with the STPCD. The pay policy contains the procedure for appeals against pay decisions.

The appraisal procedure will address any concerns that are raised about a teacher's performance. If the concerns cannot be resolved through this process there will be consideration of whether to commence the formal competence procedure. This Appraisal Policy dovetails with the School's procedure for dealing with situations where a teacher's level of competence falls below expectations, as detailed in the appendix 'Teachers Experiencing Difficulty- Advice on Informal Structured Support and Monitoring' and the adopted Formal Competence Procedure.

(Schools may also wish to make reference to the links with their Continuing Professional Development [CPD] Policy)

3. Appraisal

The Appraisal Period

The appraisal period will run for twelve months from September to September to match with the academic year. The process of undertaking appraisal reviews and making pay decisions will be completed by 31 October, except for the headteacher. The process for the headteacher will be completed by 31 December.

Teachers 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 duration of their contract.**

Where a teacher begins employment with the school the Governing Body may determine that the initial appraisal period in respect of that teacher is shorter or longer than 12 months. Where a teacher starts their employment at the school part-way through a cycle, the head teacher, or in the case where the teacher is the head teacher, the Governing Body shall determine the length of the first appraisal cycle, with a view to bringing the cycle into line with that for other teachers at the school as soon as possible.

Appointing Appraisers

Head Teacher

The head teacher 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 head teacher, including the setting of objectives, will be delegated to a sub-group consisting of three members of the Governing Body. Should one member of the sub-group be unable to attend the appraisal meeting, it may proceed with two

Governors. If the Headteacher is of the opinion that one of the sub-group is unsuitable to act as his/her appraiser, he/she may write to the Chair of Governors to request that they be replaced, giving reasons. The chair will reply in writing with their decision. *(Schools purchasing the HR Advice and Guidance Service from DCC should seek their support in considering the request.)*

Teachers

The head teacher will decide who will appraise other teachers. Where teachers have a concern about their nominated appraiser, they may write to the Headteacher, giving reasons. Where legitimate concerns are raised these will be carefully considered by the Headteacher and an alternative appraiser may be offered, if possible. It is anticipated that appraisers will be those who hold some management role in relation to the teacher, unless the Headteacher has reason to nominate another appropriate appraiser. The nominated appraiser will hold an appropriate position in the staffing structure and have the necessary, knowledge, skills and experience to undertake the role. If, for any reason, the nominated appraiser is unable to conduct the role, an appropriately experienced alternative colleague will be appointed.

The appraiser will conduct all aspects of the review, including making pay recommendations, for teachers who are eligible.

It is advised that each appraiser allocated no more than 4 teachers to appraise.

Where there are concerns about a teacher's performance, and the Headteacher is not the appraiser, the Headteacher may consider undertaking the role themselves or appoint an alternative senior member of staff.

The Planning Meeting

The meeting will include:

- The setting/agreeing of objectives,
- Evidence to be collected
- Identifying success criteria
- Deciding the support/training programme
- Determining the focus and timing of observations

The head teacher's objectives will be set by the Governing Body sub-group after consultation with the external adviser and the Headteacher. Should agreement not be reached between the Headteacher and governors, the sub-group of governors may determine the objectives. In line with the section on representation and appeals, if the Headteacher believes the objectives are not suitable he/she should raise the matter with the Chair of Governors in writing, in the first instance.

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 teacher, will be Specific, Measurable, Achievable, Realistic and Time-bound and will be appropriate to the teacher's role and level of experience. In setting the objectives, appraisers will have regard to the context of the teacher and the demands of the objectives, *consistent with the school's approach to promoting staff wellbeing. The Teachers' Standards will inform the objectives set for the teacher.*

The appraiser and appraisee will seek to agree the objectives. Objectives may be revised if circumstances change. **Any amendment to the objectives or supporting requirements will be recorded in writing and the expectations of the teacher clarified. The teacher may add comments on the appraisal planning statement.** The Headteacher will moderate the appraisal process to ensure objectives are consistent between teachers with similar experience and levels of responsibility. If agreement cannot be reached between the appraiser and appraisee, the appraiser will determine the objectives but the final decision rests with the Headteacher, through the moderation process.

The measures of success for meeting the objectives should be made clear to the teacher and recorded. *Teachers and their appraisers will identify expected sources of evidence for achievement of objectives and fulfilment of relevant standards but this will not preclude the addition of other sources of information that may become available, provided they are agreed to be relevant. Appraisers will seek to identify a comprehensive range of sources of information to be utilised as a basis for assessing performance and the achievement of objectives. Sources of evidence should be agreed with the teacher, where possible, and the teacher may record any reservations they hold on the planning statement.*

The planning statement will also contain details of any support and development which the teacher will receive to support them in achieving the objectives.

The objectives set for each teacher will, if achieved, contribute to improving the education of pupils at the school and the implementation of any plan of the Governing Body designed to improve educational provision and performance. This will be ensured by the headteacher (or for the headteacher's objectives, by the sub-group with the external adviser's help) quality assuring all objectives against the school improvement plan. *The teacher's professional aspirations will be taken into account when setting objectives.*

In this school 3 objectives will normally be set for each teacher, unless agreed otherwise. It is recognised that some objectives incorporate greater scope and breadth than others. It is expected that objectives will reflect the range of each teacher's role, responsibilities and working time. Objectives will address key areas of core professional practice.

The expected level of performance will be reflected and specified in the wording of success criteria. The success criteria may include a focus on, (as appropriate, taking into account the responsibilities of the teacher's post and pay range) -

- *impact on pupil progress (including beyond own teaching groups, where appropriate)*
- *impact on wider outcomes for pupils,*
- *improvements in specific elements of practice*
- *impact on effectiveness of other teachers/staff*
- *wider contribution to the improvement of the school*

There will be recognition of the quality of actions and effort to progress objectives.

Appraisers will consider whether reasonable adjustments to the objectives are appropriate, in the light of an individual's circumstances, for instance where the teacher has a disability or has experienced long term absence.

Before, or as soon as practicable after, the start of each appraisal period, each teacher/headteacher will be informed of the standards against which that teacher's performance in that appraisal period will be assessed. All teachers, including headteachers who teach, must be assessed with reference to the 'Teachers' Standards' which came into effect from September 2012 and, where relevant, against other sets of standards published by the Secretary of State that are relevant to them. Therefore relevant teachers' performance will be considered against the criteria adopted in the school's Pay Policy for teachers to be paid on the Upper Pay Range, expectations of Leading Practitioners and National Standards for Head Teachers. For QTLS holders, that may include the overarching professional standards for the lifelong learning sector, held by the Learning and Skills Improvement Service. *(Headteachers will need to inform teachers holding QTLS whether they will be assessed against the Teachers' Standards or those provided by the Learning and Skills Improvement Service)*

Observation and Other Evidence

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 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, in an atmosphere of constructive engagement, collaboration and co-operation. (see Classroom Observation protocol attached)

Classroom observations will not normally exceed 3 per appraisal cycle, with single lesson observations lasting a maximum of one hour. All observations to take place within the cycle, will be planned and identified at the outset, so that unnecessary duplication can be avoided. The focus and timing will be recorded in the teacher's planning statement. Following discussion, the appraiser and teacher may agree to revisit the amount of lesson observations in order to support achievement of the objectives. The current Teachers' Standards will inform and underpin the objective setting process. Any such changes will be formally recorded within the appraisal documentation and signed by appraiser and appraisee. Further observations may form part of the programme adopted when the 'Teachers' Experiencing Difficulty' section of the policy is applied.

Classroom observation will be carried out by those with QTS.

In general, observations will be multi-purpose and provide information regarding the teacher's strengths, achievement of objectives and standards, development needs as well as contributing to the school's quality assurance processes. The school will seek to minimise the total number of occasions on which teachers are observed by using the findings of each observation for other management requirements (like subject reviews) where possible. *It is not a requirement to utilise all 3 observations allowed, Observations will not be arranged as a matter of routine but will have clear purpose, in relation to the teacher's development needs and/or the school's quality assurance programme.*

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

To be fair and transparent assessments of performance will be properly rooted in evidence. It is recognised that there a variety of other sources of evidence to indicate the quality and impact of teaching in individual classes, key stages, teams, subjects and departments. The school aims to utilise a range of data, which is carefully evaluated, to identify progress, attainment and areas for improvement. The evidence to be utilised may include (where agreed) self-assessment, pupil progress, planning documentation, peer review, pupil work analysis, surveys, pupil feedback, marking and assessments of pupils' learning. Classroom observation is particularly important in identifying the specific strengths and areas for development of individual teachers. The school is committed to providing accurate feedback in order for teachers to benefit from support that is tailored to their professional development needs. The planned and focused sharing of staff's strengths, to enhance the skills of colleagues, is believed to be one of the most powerful strategies for continuing professional development, promoting a culture of collaborative reflective practice. Peer observation, arranged for the purpose of professional development and not utilised to provide evidence of a teacher's performance, is not included in the 3 observations allowed for appraisal purposes.

Feedback will be provided, taking account of the Teachers' Standards that are relevant to the particular activity observed (and other standards relevant to the individual) and appropriate development activities identified. *Observations may also be graded using Ofsted criteria, in order for the school leadership to formulate, along with other information indicating quality of teaching across the school, reports for governors, priorities for school improvement initiatives and training and development activities.*

Development and Support

Appraisal is a supportive process which will be used to inform continuing professional development (CPD). The school wishes to encourage a culture in which all teachers take responsibility for improving their teaching through appropriate professional development. Opportunities for professional development will be linked to school improvement priorities and to the ongoing development needs and priorities of individual teachers. *Teachers will be expected to evaluate the impact of their CPD and share their learning with colleagues, where appropriate, in line with the school's approach to CPD. Self- evaluation of performance against the Teachers' Standards and their own objectives will be facilitated. (schools may wish to put 'incorporated into the appraisal process' instead)*

The school's CPD programme will be informed by the training and development needs identified as part of the appraisal process. The Governing Body will take account of the resources needed for the operation of the appraisal process, in setting the school budget annually.

Where there are competing demands on the school budget with regard to the provision of CPD, a decision on the relative priority will be informed by the extent to which:

- a) The training/support will help the school achieve its priorities*
- b) The identified CPD is essential for the appraisee to meet their objectives.*

Account will be taken an the annual review of performance of whether the support/development recorded in the planning statement has been delivered.

Feedback and In-Year Monitoring

The appraiser and teacher will confirm to each other when any piece of evidence to be cited for appraisal purposes is identified.

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

There is no requirement to schedule formal meetings. It is important to maintain ongoing professional dialogue to track progress towards the objectives and check on the provision of support and training. Interim review meetings may be held, if significant evidence relating to the planning and review process comes to light and it is impractical/inappropriate to wait for the next scheduled annual review meeting. They may also be held if both appraiser and appraisee agree. Any meetings taking place as part of appraisal will be held in directed time, but not the teacher's PPA time.

If a lack of progress towards objectives or concerns that standards are not being met are such that there is a risk the teacher's annual appraisal review may not be successful and, potentially, pay progression not recommended, this will be made clear to the teacher in writing. Relevant support/development activities, with the aim of rectifying the situation, will be put in place through the appraisal process.

Refer to section in the main policy on teachers experiencing difficulties and then the appendix '**Teachers Experiencing Difficulties- Advice on Informal Structured Support**' for the process of dealing with concerns about potential underperformance.

Annual Assessment

Each teacher's (& headteacher's) performance will be formally assessed in respect of each appraisal period. The objectives are the focus of this process. In assessing the performance of the head teacher, 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 as appraisers maintain ongoing professional dialogue with their appraisee(s). There should be no surprises concerning the overall assessment of a teacher's performance at the annual review meeting.

The Governing Body or headteacher must,

a) assess the teacher's performance of their role and responsibilities during the appraisal period, with reference to

- the standards applicable to that teacher (which will not be used as a checklist) Teachers will be assumed to be meeting the Teachers' Standards unless concerns have been raised with them and clear documented evidence to the contrary is provided.

- the teacher's objectives;

b) assess the teacher's professional development needs and identify any action that should be taken to address them; and

c) where relevant, include a recommendation relating to the teacher's pay.

No request to submit additional evidence will be made to the teacher at the review meeting, although teachers may do so if they wish.

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 head teacher). **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 and the relevant standards;**
- **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 the teacher is eligible** (NB – pay recommendations need to be made by 31 December for head teachers and by 31 October for other teachers);
- a space for the teacher's own comments
- (the school to add anything else their appraisal report will include)

The appraisal report will be drawn up in discussion between the appraiser and the teacher.

The assessment will clearly relate to the success criteria set for each objective and the standards of performance defined for the teacher's pay range

The assessment of performance and of training and development needs will inform the planning process for the following appraisal period. It is expected that the discussion will include the utilisation and impact of training and development undertaken and any contribution the teacher has made to the development of a colleague(s). Appraisers may include reference to any significant impact in the appraisal report.

Pay Progression

The Governing Body will award pay progression on the basis of successful performance (ie that the teacher has met or made significant progress towards their objectives and continued to fulfill relevant standards), with reference to teachers' appraisal reports. Where a teacher is eligible, a recommendation on pay progression will be made by the appraiser based on the assessment of their performance against the agreed objectives and their responsibilities, the Teachers' Standards and any other relevant standards.

The decision of the Governing Body will be made in accordance with the school's Pay Policy and the STPCD, where applicable.

The school has set out in its Pay Policy the salary scales for the main pay range, upper pay range and leading practitioner pay range. Teachers are eligible for consideration to receive pay progression through the main scale on an annual basis until the maximum is reached. The Pay Policy sets out the arrangements for application to be paid on the upper pay range and further progression.

Representation and Appeals

Any recommendation on pay will be referred by the head teacher to the Pay Committee (or other committee designated in the school's decisions concerning delegation of powers) of the Governing Body. The procedure for a teacher to make representations concerning a pay decision, or to appeal, is contained in the school's Pay Policy.

If a teacher wishes to request changes, or raise concerns, about any other aspect of the appraisal process and documentation they should write to the headteacher setting out their grounds within 10 days of receiving the statement of objectives and appraisal review statement. The headteacher will, if necessary, meet with the teacher and then determine whether any action should be taken or changes made. If the headteacher is the appraiser of the teacher, the letter should be submitted to the Chair of Governors, if the teacher is unable to resolve the matter informally with the headteacher. Likewise a headteacher would write to the Chair with any concerns. The Chair of Governors may be advised by the school's Human Resources provider, when meeting with the teacher, if necessary, and reaching a decision on the representations. If the teacher (or Headteacher, if they have made representations concerning their Appraisal statement) remains unhappy they may appeal to a governors' committee, convened for the purpose. The appeal will follow the same process as detailed in the pay policy for pay appeals

4. Teachers Experiencing Difficulties

When responding to a teacher who is experiencing difficulties in meeting the requirements of their role, action will be taken to provide support and guidance, through the appraisal process, to enable their performance to improve and meet expectations.

(It is important to refer to Appendix 'Teachers Experiencing Difficulties- Advice on Informal Structured Support and Monitoring' as what following is a summary)

If an appraiser identifies through the appraisal process, or through other sources of information, that a teacher is experiencing difficulties such that, if not rectified, there will be detriment to the educational provision delivered to pupils and/or the formal competence procedure may be implemented, the appraiser will inform the Headteacher, who will decide whether to appoint a new appraiser.

Where there are concerns about any aspects of the teacher's performance the appraiser will meet the teacher formally to:

- give clear feedback to the teacher about the nature and seriousness of the concerns;
- give the teacher the opportunity to comment and discuss the concerns;
- make mutually suitable arrangements, or give 5 working days' notice, to meet the teacher to discuss targets for improvement and any support (eg coaching, mentoring, structured observations), that will be provided to help address those specific concerns;
- in consultation with the teacher at the above meeting, establish an action plan with clear

- expectations, success criteria and support to be provided;
- make clear in the plan how, and by when, the appraiser will review progress. It may be decided to revise objectives, and it will be necessary to define sufficient time for the necessary improvement (the amount of time will reflect the nature of the improvement required and the seriousness of the concerns);
- 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 as detailed in the plan. The provision of the support will also be monitored. During this period the teacher will be given feedback on progress and arrangements will be made to adjust the programme if there is good reason to do so. The period identified for the teacher's performance to improve and meet the standards needs to be reasonable and will depend on the circumstances.

When progress is reviewed at the conclusion of the period identified, if the appraiser is satisfied that the teacher has made, or is making, sufficient improvement, the appraisal process will continue as normal, with any remaining issues continuing to be addressed through that process. The teacher should be informed at the formal review meeting that no longer is there consideration of invoking the formal competence procedure.

Transition to Competence Procedure

If the appraiser is not satisfied with progress, the teacher will be notified in writing that a meeting to determine whether the formal competence procedure needs to be applied, **having followed the process set out in the Appendix 'Teachers Experiencing Difficulty – Advice on Informal Structured Support and Monitoring'**. They will be informed that if this decision is taken then the appraisal system will no longer apply and that their performance will be managed under the competence procedure. *The appraiser will consult with the head teacher when contemplating this action (or designated alternative senior staff member).*

Refer to Formal Competence Procedure for further details of conducting the formal meeting to consider application of the procedure. The teacher will receive at least 5 working days' notice of the meeting and may be assisted by a trade union representative or work colleague. The headteacher will consider whether to appoint another appropriate appraiser, in the circumstances, or perform the role themselves.

5. Monitoring and Evaluation of the Process & Policy

The Appraisal process will be treated with confidentiality. However, the desire for confidentiality does not conflict with the need for Quality Assurance of the operation and effectiveness of the appraisal system. In this school we will ensure fairness through

- *providing clarity on the nature of objectives,*
- *having higher expectations of teachers on higher pay ranges or with paid responsibilities*
- *including clear success criteria and evidence to be utilised,*
- *ensuring that relevant training and development is provided, head teacher review of all teachers' objectives and appraisal records in order to check consistency of approach and expectation between different appraisers and to ensure that they comply with the policy. (In larger schools the*

Headteacher may wish to delegate the monitoring of objective setting, information to be utilised, success criteria and evidence to other relevant senior leader(s)) In addition, only the teacher's line manager(s) will be provided with access to the objectives, where it is necessary to enable the line manger to discharge their duties.

In relation to the appraisal review statement the Headteacher needs to be aware of any pay recommendations that have been made in order to refer these to the pay committee. *The head teacher will make arrangements for the details of training and development needs to be communicated to anyone with responsibility in the school for the delivery of continuous professional development.*

The Governing Body will monitor and evaluate the policy.

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 any potential impact of the policy on employees with regard to the following characteristics:

- *Race*
- *Sex*
- *Sexual Orientation*
- *Disability*
- *Religion & Beliefs*
- *Age*
- *Part-time Status*
- *Maternity and Pregnancy*

The Headteacher will report on whether there have been any appeals or representations on an individual or collective basis on the grounds of alleged discrimination. In keeping with good practice, the annual report on the operation of the policy will be provided, on request, to the trade unions and professional associations. The Governing Body will respond to any request from the trade unions or professional associations, to seek benchmarking data, by approaching the local authority for relevant available statistics.

Quality Assurance Report

While not an exhaustive list, the following may provide a framework for a quality assurance report.

- a) *The allocation of staff to appraisers,*
- b) *The training provided for appraisers and teachers,*
- c) *The percentage of planning meetings that took place on schedule. If less than 100%, what circumstances prevented the meeting and what has been done to ensure this is avoided in future,*
- d) *The broad areas of training needs identified and how they are being/have been addressed,*
- e) *Any impact noted as on outcome of training,*

- f) *Number of lesson observations that took place and percentage judged to meet relevant standards and in each Ofsted category (where appropriate),*
- g) *Summary of strengths and areas for development identified in observations, and other appraisal evidence, overall and broken down by curriculum area or key stage (where this would not identify an individual teacher)*
- h) *How good and outstanding practice is being shared,*
- i) *How areas for development are being addressed (may be covered in Training)*
- j) *Percentage of objectives met, partially met, not met, or exceeded,*
- k) *Any key obstacles to achievement of objectives not met and how being addressed.*

The report will include an assessment of the impact of appraisal on school improvement and details of the range of professional development delivered through the process. The Headteacher will make the Governing Body aware of any significant incidence of teachers not being provided with CPD, which was identified as necessary to the delivery of their objectives.

6. General Principles Underlying This policy

Confidentiality

The appraisal process will be treated with confidentiality. The appraisal review statement will only be available to the appraisee, appraiser and head teacher.

Consistency of Treatment and Fairness

The Governing Body is committed to ensuring consistency of treatment and fairness and will abide by all relevant equality legislation.

Workload

The operation of the appraisal process should not add to the teacher's workload. It will reflect the responsibilities detailed in the teacher's Job Description and the overall duties of a teacher as defined in the School Teachers' Pay and Conditions Document. It will focus on the key priorities of the school and for the individual's role. The process will take place within directed time but not the teacher's PPA.

Definitions

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

Delegation

Normal rules apply in respect of the delegation of functions by governing bodies, head teachers and local authorities.

Retention

The governing body and head teacher will ensure that all written appraisal records are retained in a secure place for six years and then destroyed.

Appendix 1

Classroom Observation Protocol

The Governing Body is committed to ensuring that observation is developmental and supportive. The effective and efficient operation of the appraisal process requires lesson observation to be a confidential process of constructive engagement within an atmosphere of professional trust and co-operation. Accordingly those involved in the process will:

- carry out the role with professionalism, integrity and courtesy;
- seek to reach agreement in advance on how classroom observations will be carried out;
- evaluate objectively, taking account of any particular circumstances affecting the observation on the day;
- report accurately and fairly; and
- respect the confidentiality of the information gained.

Planning and Preparation

The Headteacher will:

- consult with teachers and union representatives concerning the overall pattern of observations for the academic year, seeking agreement,
- leave capacity for appraisers to agree with teachers the timing of any observation particular to that teacher's objectives,
- provide for those being observed for all purposes to receive final notice at least 5 working days in advance,
- arrange, as far as possible for observations to take place at a time agreed with the teacher,
- ensure there is a reasonable amount of time between observations,
- ensure classroom observation is undertaken solely by persons with qualified teacher status and the appropriate training and skills to undertake observation, provide

constructive oral and written feedback, in the context of professional dialogue. The observer should be able to provide any consequent support for the teacher or ensure this need is addressed by the relevant staff member.

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

- the amount of observation,
- the focus of the observation,
- the maximum 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 improvement strategies, in accordance with the school's efforts to streamline data collection and minimize bureaucracy.

Conducting Observation

Time for preparation and feedback for classroom observation will be made available within the teacher's directed time, but not PPA time. The total period for observation arranged for any teacher will not exceed three visits per cycle, each of no more than an hour in length, having regard to the individual circumstances of the teacher. There is no requirement to use all of the three hours.

The amount of observation for each teacher should reflect, and be proportionate to, the needs of the individual and the school. In each case 'proportionate to need' will be determined by the particular role of the teacher, and the focus of their objectives.

Classroom Observations will only be undertaken by persons with QTS. *Teachers with wider responsibilities, observed leading meetings/delivering INSET etc, may be observed by an appropriate line manager who does not hold QTS.*

Oral feedback will be given as soon as possible after the observation and the appraiser will aim to provide this before the end of the following working day. Feedback will be given during directed time in a suitable, private environment. 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, as recorded in Appraisal plan, these should also be covered in the written feedback and the appropriate action taken in accordance with the policy and guidance.

Neither pupils nor Governors will undertake observations, although governors may, by arrangement and agreement with the teacher(s) concerned, visit a lesson(s) to familiarise themselves with the school in operation or in connection with their link area.

Records

The written record of feedback will also include the date on which the observation took place, the lesson observed and the length of the observation. The teacher may add written comments on the feedback document. No written notes in addition to the written feedback will be kept. The appraiser will be given sufficient time within their working day to put in written form the conclusions and outcomes of the observation, where possible agreeing these with the teacher. It is recognised that an observation provides a 'snapshot', not an overview of a teacher's performance. Other information will be utilised to assess the teacher's overall effectiveness and the impact of their quality of teaching. Observation feedback will be formulated with reference to the Teachers' Standards (and any other standards applicable to the teacher) relevant to the activities observed. Any use of Ofsted grades is to enable headteachers to report generic quality of teaching information to the Governing Body, identify school development needs and prepare the school for Inspection.

Teachers will be provided with all written accounts of observations.

Classroom Observation and Formal Capability Procedures

Where evidence emerges about the appraisee's performance which gives rise to concern during the cycle, additional observations to those recorded at the beginning of the cycle may be arranged, subject to a formal review meeting being held in accordance with the policy.

For teachers entering the 'Teachers Experiencing Difficulty' section of the Appraisal Policy or already on a formal capability procedure, an important part of the support offered will be a clearly defined amount of classroom observation, with structured oral and written feedback. The amount of observation will be discussed with the teacher and (as indicated in the Teachers Experiencing Difficulty appendix) their union representative.

Appendix 2

Appraisal- Teachers Experiencing Difficulties

Advice on Informal Structured Support and Monitoring

The school's appraisal policy details the necessary process and steps to be taken to address any identified underperformance issues within appraisal. This document provides additional advice and guidance for schools in implementing informal structured support and monitoring for relevant teachers.

It is important that the 'Teachers Experiencing Difficulties' section of the Appraisal Policy is read first.

Preamble

1. Underperformance or lack of competence may affect teachers at all levels any time in their careers and such teachers are entitled to sympathetic consideration and active support from colleagues in the school. This procedure deals with identifying the nature of the problems, the needs of the teacher and establishing an appropriate support programme.
2. The nature of concern about performance or omission, its level of seriousness and cause(s), must be communicated at the outset to the teacher, investigated and identified by structured information gathering and systematic recording.
3. The Appraiser must inform the Headteacher when they develop concerns about the performance of a teacher, such that they are contemplating a review meeting to consider implementation of a structured support and monitoring programme. Likewise, a Headteacher or senior leader who identifies significant concerns about a teacher's performance should ensure the appraiser is informed and that appropriate measures are taken.

4. The Headteacher will need to ensure that the Appraiser has the necessary knowledge, skills and experience to determine an appropriate structured support and monitoring programme and its implementation. The Headteacher should review whether:

- the appraisal process has been operated fairly and appropriately so far
- whether the teacher has received appropriate, timely feedback and clarity on the expected standards of performance and
- relevant CPD, through the performance management process and provision linked to school priorities (SIP)

in recent cycle(s).

5. The Headteacher should ensure that the teacher is involved in determining an appropriate support programme. It should be stressed that the aim of the support programme is to help the teacher to improve and develop the performance of his/her duties in the interests of the pupils, teacher and the school as a whole. Ideally the action plan should be agreed with the teacher.

6. Advice on these procedures may be sought from the CAYA HR Advice and Guidance Service (for subscribing schools), at this stage.

Identifying the Problems

1. Where there is any concern about a teacher's professional performance it is necessary, at the outset, to identify any specific problems being encountered by the teacher.

2. Where there is evidence from a G.P. and/or the Authority's Occupational Health Physician that health may be a factor impairing work performance, their advice will be sought:

- To ensure the teacher is fit for work and the duties of a teacher
- To seek recommendations as to whether any reasonable adjustments should be considered to enable the teacher to fulfil their duties.

3. Consideration should also be given to whether there are any other school policies or procedures which are relevant to the circumstances and that they are applied appropriately.
(eg Stress Management, Management of Sickness Absence)

4 a) The appraisal process will be the key source of information that raises any concern and prompts a decision to investigate further. Annual, ongoing evaluation of a teacher's performance, in the context of the Teachers' Standards, conducted by the appraiser and through the teacher's self-evaluation, will clarify any areas of concern. Teachers will be assumed to be meeting the Teachers' Standards unless clear documented evidence to the contrary is provided.

b) Evidence of unsatisfactory teaching from an Ofsted Inspection or HMI visit may provide information about a teacher's performance which raises, or contributes to,

the identification of a concern and/or the need to investigate further. It is acknowledged that this is only an example of the teacher's practise and may just relate to an aspect of performance. Therefore the decision to investigate and address a concern would only arise where there is other evidence that suggests there is an ongoing problem.

- c) Observation within the teaching situation by a senior member of staff and/or an Adviser may assist in clarifying the precise nature and origin of the difficulties. Where this is in addition to the observations identified within the original appraisal programme, these should be arranged in consultation with the teacher concerned wherever possible.
- d) Observation reports will be supplemented by all available information from the school's Quality Assurance systems and, in particular, pupil outcomes.

In assessing how serious are the identified performance concerns, impact on pupils' learning will be a key consideration. Performance concerns, in relation to additional responsibilities of teachers and senior leaders may also arise and would, likewise, need to be identified and evidenced.

5. It is important that the teacher knows at the outset what is expected of them. During the annual appraisal meeting the appraiser should check that the teacher is clear on:
 - the responsibilities of their job (is the Job description up to date?)
 - the standards expected in the job (Teachers Standards 2012 for all teachers, except QTLS holders, and Post Threshold, AST standards etc., where relevant)
 - the person to whom he/she is responsible for the job (line manager)

If the person specification for the job is available this would also help to clarify the competence requirements in terms of knowledge, skills and experience.

Timescale

The timescale adopted will be in accordance with the seriousness of the identified underperformance. The period given within the Appraisal process for significant improvement to take place would normally be 10 weeks and not less than 6 weeks. (see Flowchart for overview)

It is strongly advised that an interim review is scheduled for around 6 weeks into the programme. This will enable the appraiser and teacher to establish whether expected progress is underway and whether any adjustments to the plan should be made. If the appraiser identifies concerns that reasonable progress is not being made they should inform the Headteacher, who is advised to take action as detailed in paragraph 5 below. This will involve initiating a new 10 week programme or, *in extreme cases, where there are health and safety concerns and the learning of pupils is jeopardised, a maximum of 4 weeks will be allowed for improvement to take place. The level of improvement would need to be such that the health and safety issues are resolved and learning is taking place. Where this is not secured, a meeting will be called to consider the application of the Formal Competence procedure.*

Where there is evidence that sufficient improvement is taking place the programme of structured support and monitoring may continue for, up to, a total of 10 weeks aimed at securing performance at the expected standard.

Action

1. Having identified any concerns about performance through everyday staff management and appraisal, a teacher should have the opportunity to explain the reasons for the concerns and have an opportunity to address the situation.
2. Details of any concern about performance will be brought to the teacher's attention. The Appraiser will record any action taken and the teacher's response when explanation is sought. The teacher will be informed that he or she has a responsibility to achieve a professionally acceptable standard. The teacher will be informed what is required, how their performance will be reviewed, the period of review, what support will be available and that application of the Formal Competence Procedure will need to be considered if there is insufficient improvement. Subsequent advice and support may achieve the desired and agreed changes in performance.
3. It is anticipated that most concerns will be dealt with through this management process and within appraisal.
4. Where the cause of the criticism or complaint concerning a teacher's professional competence continues, further action will be necessary to deal with the specific problems which are being encountered by the teacher and which are a cause of concern. If the teacher has not been willing to co-operate in addressing the concerns this may be regarded as misconduct, leading potentially to action under the school's disciplinary procedures.
5. The period of informal support and counselling should not go on for too long. The period of informal support should therefore be no longer than 10 weeks and less may sometimes be appropriate. There should be a clear indication of improvement. As noted above, an interim review should be held around 6 weeks into the plan. Where the appraiser then informs the Headteacher that little progress has been achieved, the head is advised to call a meeting outside of the appraisal process with the teacher, their representative and the appraiser. The head may be supported by their HR adviser.

The purpose of the meeting is for the head to assess the overall situation, receive the views of the teacher and their representative about the process they are undergoing and consider the wider context of the teacher and school. As a consequence, the head should review the process and plan for improvement. This meeting enables the union representative to be fully informed of their member's situation, to advise their member accordingly and provide their professional input, including seeking to reach agreement on the objectives and monitoring arrangements, ensuring the programme of support is the most effective and relevant possible. As outlined above, two outcomes are possible:-

- a) Taking account of the additional information available, a revised 10 week programme should be adopted. It is good practice for this to be agreed with the teacher. During the programme for improvement an interim review with the teacher, appraiser, union representative and HR officer is advised. At end of the agreed period (normally 10 weeks), a further meeting outside of appraisal should be held

with the same relevant parties to assess whether the changes have enabled the programme of support delivered to have been appropriate and robust. An assessment will be made of the teacher's progress.

If the standards are now being met, the normal appraisal process would then continue. If there has been significant improvement and standards are nearly met, the Headteacher has the option to instigate a further 6 to 10 week programme of monitoring and review to enable the teacher to fully meet agreed expectations and show these can be sustained.

- b) Alternatively, the Headteacher may assess that the situation is exceptional and so serious (as described above) that a 4 week programme to seek resolution of Health and Safety concerns and/or ensure that pupil learning is taking place should be applied.

Outcomes

A formal review meeting will be held at the end of the adopted period of view and assessment, involving observation and collection of a range of other information illustrating the quality of performance. A firm conclusion should be reached and the outcome will be one of the following:

- i) Confirmation that the expected standards have been reached and that the normal appraisal cycle will continue.
- ii) Extension to the period of informal support to allow time for further improvement. This would be appropriate where significant improvement has been demonstrated, yet further development in performance is necessary to meet all the required standards and for the teacher to demonstrate they can sustain these independently. The extension would be of 6 to 10 weeks in length. The Appraiser/Headteacher will take account of any previous extensions to the programme of support and monitoring.
- iii) The calling of a formal meeting to consider the implementation of the Formal Competence Procedure. (details of the requirements to fulfil and guidance on arrangements can be found in both the Appraisal Policy and Competence Procedure)

Making it work

Identifying the Problems

The following may help in determining what exactly is contributing to the performance issues and thus the considerations that should inform any action to address.

- What is the wider context – the school's situation, turbulence, vulnerability to Ofsted judgement?

- New leadership in the school or new Appraiser? How robust/shared are judgements and strength of school's Quality Assurance processes?
- Individual teacher – new to school or to role? Career stage and previous 'judgements'/indicators of performance? Is this the first time any issues have been raised in any way? Has something changed suddenly or over time? Has all feedback from various sources been accurate, fair and honest (in terms of what is included or significant omissions)?
- Individual teacher- personal circumstances (where shared by teacher), health issues, commitment demonstrated to their role and the school, self-evaluation?
- What are relationships like between colleagues and what support is available within the school? Are all teachers clearly subject to the same expectations?

Action

- ✓ Headteacher ensures Appraiser is suitable for the circumstances and has mentor support.
- ✓ Teachers' Standards are a regular reference point in the school and staff know what meeting the teaching standards looks like in terms of the day to day practice in the school (not treating them as a checklist), using the school's own systems/policies. (E.g. Teaching and Learning Policy, assessment routines and moderation, behaviour procedures etc.)
- ✓ A richness of data is used to identify specifically what needs to improve.
- ✓ An action plan format would facilitate the detailing of the necessary components of the support and monitoring process, with a range of evidence and concrete success criteria to ensure clarity of expectations for all parties.
- ✓ The original appraisal objectives may be revised or elaborated and broken down into actions.
- ✓ A systematic, incremental approach is recommended.
- ✓ Listen to what the teacher thinks about the type of support/training they find most helpful in determining what, of the available choices, should be incorporated into the plan. Familiarity in the school with self-evaluation, peer working, coaching and the use of leading professionals to develop other's practise will broaden the strategies available. Cluster and other networks may provide other sources of support.
- ✓ Strongly advise the teacher to consult with their union/professional association for advice/guidance on making best use of the programme of structured support and monitoring during appraisal. They could share the plan with their representative and bring back any suggestions for consideration. The involvement of the union/professional association is usually very helpful in ensuring the action taken is appropriate and as effective as possible. In exceptional cases the union may have a concern about the way the process is being applied and, in these circumstances should request a meeting with the Headteacher. The head should then seek advice from CAYA HR Advice and Guidance Service in assessing whether any revisions should be made. Use of a meeting called by the head, outside of the appraisal process enables all information and views to be considered by the head in ensuring the process being applied to the teacher is fair and robust. Should a formal meeting to consider entry into the Competence Procedure

then subsequently be necessary, it is less likely that issues will emerge that require the earlier steps to be repeated.

- ✓ Build in regular, constructive feedback throughout the programme so that success is recognised and built upon, the effectiveness of the support is monitored and amendments can be considered as soon as is necessary.
- ✓ Allow time for the support to be digested by the teacher, for reflection with the person providing support and for further development/embedding of the improvement to practise. An initial period for improvement of around 6 weeks should be sufficient to demonstrate whether the process adopted is effective and any outstanding improvement still required is likely to be secured through a short extension to the plan.
- ✓ Ensure the teacher understands that models of good practise are provided to help them and illustrate how the desired pupil learning may be achieved but that it is their responsibility to take ownership of the process, such that their practise is effective in securing the learning of the pupils they teach.
- ✓ Although the role of the Appraiser, in setting/agreeing the plan with the teacher and assessing improvement, is separate from the teacher's mentor (who provides and manages support) they need to be very consistent in their understanding of the expectations sought.

- ✓ Consider whether further personal/welfare support is required.