

TEACHER APPRAISAL POLICY

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.

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.

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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.

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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

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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

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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

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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:

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

Account will be taken at 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 in interim meetings which

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will take place, usually once a term. 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

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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


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:

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- 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.

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*

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