

TEACHER APPRAISAL POLICY

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 manager 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 an 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,

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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.

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.

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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.

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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.

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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.

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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.

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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)

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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

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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

6. 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)

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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

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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.

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