APPRAISAL POLICY FOR TEACHING STAFF

Discussed and agreed with staff on 2nd July 2013
Adopted by HR & Safeguarding Committee on 27th June 2013
Addition of information on absence due to maternity or extended sickness absence (April 2015)
Consultation with staff re. classroom observations 1st July 2015
Consultation with staff on 7th June 2016
Adopted by HR & Safeguarding Committee on 23rd June 2016
Policy renewal in June 2017

APRIL 2015
CHANGES

June 2012:  New policy
April 2015  Addition of information on absence due to maternity or extended sickness absence

If you have any questions regarding this policy please contact your Schools HR Adviser
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1 INTRODUCTION

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

The Appraisal Regulations set out the principles that apply to teachers in all maintained schools and unattached teachers employed by a local authority, in each case where they are employed for one term or more. They retain the key elements of the 2006 Regulations but allow schools more freedom to design arrangements to suit their own individual circumstances. They provide the minimum national framework within which schools should operate and say nothing, or very little, on many subjects on which the 2006 Regulations made detailed provision. If they wish, schools may include in their own policies details that are no longer covered by the Appraisal Regulations.

Schools and local authorities must stay within the legal framework set out in the Appraisal Regulations and in other relevant legislation that affects all employers (for example legislation on equality, employment protection and data protection).

Schools and local authorities must have an appraisal policy for teachers and a policy, covering all staff, which deals with lack of capability. This model policy applies only to teachers, including head teachers, but schools might wish to adapt it for use with all staff. It has been written in the context of schools, but the same principles apply to unattached teachers. It is good practice for schools to consult staff on their appraisal policy. This model policy has been provided as an optional resource for schools and others to which they can refer as they wish as they review and develop their own policies.

On 1 September 2012 it supersedes the previous performance management model policy and guidance, which had been designed to support the 2006 Regulations.

In the model policy text in bold indicates statutory requirements contained in the Appraisal Regulations or the School Staffing Regulations.

2 PURPOSE

This policy has been adopted by the Governing Body of Shakespeare Primary School. It sets out a clear and consistent framework for the assessment of teachers (including the head teacher), performance and for supporting their development within the context of the school’s plan for improving educational provision and performance, and the standards expected of teachers.

The appraisal procedure will also be used to address any concerns that are raised about a teacher’s performance. If concerns are such that they cannot be resolved through the appraisal process, consideration will be given to commencing the capability procedure.
3 APPLICATION OF THE POLICY

The policy covers appraisal, applies to the head teacher and to all teachers employed by the school, except those on contracts of one term or less and those undergoing induction (i.e. NQTs).

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

4 APPRAISAL PERIOD

The appraisal period will run for twelve months from September to August.

Teachers who are employed on a fixed term contract of more than one term but less than one year will have their performance managed in accordance with the principles underpinning this policy and the length of the appraisal period will be fixed by the duration of their contract.

Where a teacher starts their employment part-way through a cycle, the head teacher or, in the case where the employee is the head teacher, the governing body shall determine the length of the first cycle for that teacher, with a view to bringing his/her cycle into line with the cycle for other teachers as soon as possible.

Where a teacher transfers to a new post within the school part-way through a cycle, the head teacher or, in the case where the employee is the head teacher, the governing body shall determine whether the cycle shall begin again and whether to change the appraiser.

5 APPOINTING APPRAISERS

The head teacher will be appraised by the Governing Body, supported by a suitably skilled and 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 panel consisting of three members of the Governing Body.

Where the head teacher is of the opinion that any of the governors appointed by the governing body is unsuitable to act as his/her appraiser they may submit a written request for that governor to be replaced, stating the reasons for the request.

The head teacher will decide appropriately trained and experienced staff who will appraise other teachers. The head teacher and nominated senior leaders will monitor the performance management process and objectives for equality and fairness.

Each appraiser will be responsible for no more than five teachers in each cycle.

Where a teacher is of the opinion that the person to whom the head teacher has delegated the appraiser’s duties is, for professional reasons, unsuitable, he/she may submit a written request to the head teacher for that appraiser to be replaced, stating the reasons.

Where it becomes apparent that the appraiser appointed by the head teacher will be absent for the majority of the appraisal cycle, the head teacher may perform those duties or delegate them to another teacher for the duration of that absence.
Where the head teacher allocates an appraiser who is not the teacher’s line manager the person appointed will hold a senior position in the staffing structure, and have the necessary background knowledge, skills and training to undertake the role.

6 SETTING OBJECTIVES

The head teacher’s objectives will be set by the Governing Body in consultation with the external adviser normally within a 3 part meeting consisting of the external adviser meeting with the head teacher, the external adviser meeting with the responsible governors and a formal review meeting with all parties.

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 linked to the relevant standards, will be Specific, Measurable, Achievable, Realistic and Time-bound and will be appropriate to the teacher’s role and level of experience. The appraiser and teacher will seek to agree the objectives but, if that is not possible, the appraiser will determine the objectives. In the event of the duties and responsibilities attached to a post changing objectives may be reviewed and revised.

Under normal circumstances the number of objectives set within each appraisal cycle will not exceed 3.

The objectives set for each teacher, including the head teacher will, if achieved, contribute to the school’s plans for improving the school’s educational provision and performance and improving the education of pupils at that school. The effectiveness in the school’s appraisal policy in achieving these aims will be monitored through the school’s self-evaluation process.

The performance management cycle is annual but on occasions it may be appropriate to set objectives that will cover more than one appraisal cycle. In such cases, the basis on which the progress being made towards meeting the performance criteria for the objective will be assessed at the end of the first cycle and will be recorded in the planning and review statement at the beginning of the next cycle.

Before, or as soon as practicable after, the start of each appraisal period, each teacher will be informed of the standards against which that teacher’s performance in that appraisal period will be assessed. With the exception of those who are qualified teachers by virtue of holding and maintaining Qualified Teacher Learning and Skills (QTLS) status, all teachers must be assessed against the set of standards contained in the document called “Teachers’ Standards” published in July 2011 (updated June 2013). The head teacher or governing body (as appropriate) will need to consider whether certain teachers should also be assessed against other sets of standards published by the Secretary of State that are relevant to them.

For teachers who are qualified teachers by virtue of holding QTLS status, it is for the governing body or head teacher to decide which standards are most appropriate. Such teachers may be assessed against:

- the Teachers’ Standards,
- any other sets of standards issued by the Secretary of State,
- any other professional standards relevant to their performance

or any combination of those three.
7 PAY PROGRESSION

Where teachers are eligible for pay progression, the recommendation made by the appraiser will be based on the assessment of their performance against the agreed objectives. The decision made by the relevant decision-making body will be based on the statutory criteria and guidance set out in the STPCD and the relevant teacher standards.

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

8 APPRAISAL OBSERVATION & REVIEW OF PERFORMANCE

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 and will include feedback in accordance with school practice.

In this school teachers’ performance will be regularly observed but the amount and type of classroom observation will depend on the individual circumstances of the teacher and the overall needs of the school. Classroom observation will be carried out by those with QTS. In addition to formal observation, head teachers or other leaders with responsibility for teaching standards may “drop in” in order to evaluate the standards of teaching and to check that high standards of professional performance are established and maintained. The length and frequency of “drop in” observations will vary depending on specific circumstances.

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

Detailed arrangements for the observation of classroom and leadership practice are set out in Appendix A to this policy.

9 DEVELOPMENT AND SUPPORT

Appraisal is a supportive process which will be used to inform continuing professional development. The school wishes to encourage a culture in which all teachers take responsibility for improving their teaching through appropriate professional development. Professional development will be linked to school improvement priorities and to the on-going professional development needs and priorities of individual teachers.

At the end of the cycle, assessment of performance against objectives will be on the basis of performance criteria set out at the beginning of the cycle. Good progress towards the achievement of a challenging objective, even if the performance criteria have not been met in full, will be assessed favourably. There must be evidence of having grown professionally.

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1 School Teachers’ Pay and Conditions Document
10 FEEDBACK

Teachers will receive constructive feedback on their performance throughout the year and as soon as practicable after an observation has taken place or other evidence has come to light. Feedback will highlight particular areas of strength as well as any areas that need attention. Where there are concerns about any aspect 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 discuss and comment on the concerns;
- agree support that will be provided to help address concerns;
- make clear how, and when, the appraiser will review progress (it may be appropriate to revise objectives, and it will be necessary to allow sufficient time for improvement. The amount of time is up to the school but should reflect the seriousness of the concerns);
- explain the implications and process if no – or insufficient – improvement is made.
- discuss a programme of support and how this would be put into place.
- make clear that pay progression may not take place.

Feedback should be in writing not just verbal.

Where following further reviews the appraiser is satisfied the teacher is making, sufficient improvement to rectify previous concerns, the appraisal process will continue as normal, with any remaining issues continuing to be addressed through that process.

Detailed arrangements for informal support are set out in the attached Appendix B.

11 ANNUAL ASSESSMENT

Each teacher’s performance will be formally assessed in respect of each appraisal period. 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 will take place once a year.

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 professional development needs and identification of any action that should be taken to address them;
- a recommendation on pay where that is relevant (NB – pay recommendations need to be made by 31 December for head teachers and by 31 October for other teachers);
any other relevant comments that reflect the teacher’s professional contribution to school life.

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

12 TRANSITION TO CAPABILITY

If the appraiser is not satisfied with progress, the teacher will be notified in writing that the appraisal system will no longer apply and that their performance will be managed under the capability procedure, and will be invited to a formal capability meeting.

13 CONFIDENTIALITY

Access to the written appraisal report will normally be limited to the appraisee, the appraiser, the head teacher and CPD Leader.

14 EQUALITY AND CONSISTENCY

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

15 RETENTION OF STATEMENTS

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.

16 ABSENCE DUE TO MATERNITY OR EXTENDED SICKNESS ABSENCE

Where a teacher is absent from school because of maternity leave or extended sickness absence a review of performance will continue to be undertaken. The assessment of performance will be based on that part of the relevant appraisal period during which they were in work. Where the period of absence covers the whole of the review period, performance during the previous review period will be used to inform any recommendation on pay progression. Any decision to deny pay progression will be based solely on an assessment of performance and will not relate to their absence.
I can confirm that the governors of Shakespeare Primary School have adopted this policy as their own.

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<tr>
<td>Print...Val White...............</td>
<td>Print...Karen Menis...............</td>
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This policy will next be reviewed in June 2017
Appendix A: Arrangements for the observation of classroom and leadership practice

The Governing Body is committed to ensuring that observation of classroom and leadership practice is developmental and supportive and that those involved in the process will:

- carry out the role with professionalism, integrity and courtesy;
- evaluate objectively;
- report accurately and fairly; and
- respect the confidentiality of the information gained.

The amount of observation for each teacher should reflect and be proportionate to the needs of the individual. In this school 'proportionate to need' will be determined by the Performance Management action plan, review statement and outcomes of monitoring for each teacher, as determined by the Procedures for Monitoring the Quality of Learning & Teaching (Agreed 11th December 2012).

As agreed with staff (1st July 2015) the style of observation will change for the academic year 2015-2016. There will be one formal observation observed by a pair of observers and two drop-in observations, which together comprise the amount of ‘core’ observation. There may also be classroom observations organised by subject leaders to monitor learning and teaching in their subject. Where possible these will be linked into the Performance Management process to minimize the number of observations undertaken within an academic year.

The arrangements for classroom observation will be included in the teacher’s appraisal action plan and will include the amount of ‘core’ observation, specify its primary focus and when during the performance management cycle the observation will take place. Further details about the particular aspects of the teacher’s performance which will be assessed, the duration of the observation and who will conduct the observation will be provided closer to the period of observation. In keeping with the commitment to supportive and developmental classroom observation, those being observed will be notified in advance for formal observations and a timescale given for drop-in observations.

Where evidence emerges about the appraisee’s teaching performance which gives rise to concern during the cycle, classroom observations may be arranged in addition to those recorded at the beginning of the cycle subject to a revision meeting being held. If an aspect of the teacher’s work gives cause for concern as part of a drop-in observation, this may then trigger a full lesson observation.

Information gathered during the observation will be used, as appropriate, for a variety of purposes including to inform school self-evaluation and school improvement strategies in accordance with the school’s commitment to streamlining data collection and minimising bureaucracy and workload burdens on staff.

Classroom observations will only be undertaken by persons with QTS. In addition, in this school, classroom observation will only be undertaken by those who have had adequate preparation and the appropriate professional skills to undertake observation and to provide constructive oral and written feedback and support, in the context of professional dialogue between colleagues.
Oral feedback will be given as soon as possible after the observation and no later than the end of the following working day, in a suitable, private environment.

Written feedback will be provided within five working days of the observation taking place. If issues emerged from an observation that were not part of the focus of the observation as recorded in the planning and review statement these should also be covered in the written feedback and the appropriate action taken. The teacher has the right to append written comments on the feedback document. No written notes in addition to the written feedback will be kept.

A head teacher has a duty to evaluate the standards of teaching and learning and to ensure that proper standards of professional performance are established and maintained. Heads have a right to drop in to inform their monitoring of the quality of learning. As this school is a large school, drop-ins will be undertaken by the head teacher supported by the Deputy Head teacher and the following appropriate and designated staff members: Claire Gibson, Debbie Maher, Ben Norris, Jon-Joe Wilson and Sarah Ridgwell.
Appendix B: Arrangements for Informal Support

Following ‘core’ monitoring, if teachers are identified as needing support this will be personalized to three levels:

- Level 1: Aspect at good or better standard, no further follow-up monitoring required.
- Level 2: Aspect requires some further development, focused follow-up monitoring required.
- Level 3: Aspect requires further development, CPD and follow-up monitoring required.

Level 2:

*Follow-up book scrutiny* will be scheduled as ‘drop-in’ monitoring, and will involve two drop-in sessions to follow-up the areas for development identified through core monitoring. The two follow-up monitoring sessions will be undertaken by the subject leader and the phase team leader independently. A decision based upon that outlined above will be taken. If further follow-up monitoring is still required then the Head teacher will undertake this, with support of the Deputy Head teacher or Phase Team leader as required. If it is subsequently identified that further CPD is required then this will be organised by the CPD Leader.

*Follow-up lesson observations* will be scheduled as ‘focused observations’, which may examine just one element or more, of the lesson identified for improvement from the core monitoring and will be undertaken by the subject leader. A full lesson observation will follow core monitoring, where a number of unrelated elements are identified for improvement and CPD has been put in place to support. This will be undertaken jointly by two observers, one of whom should not have been part of the initial core monitoring observation. Following this, a decision based upon that outlined above will be taken. If further follow-up observation is still required then the Head teacher will undertake this, with support of the Deputy Head teacher or Phase Team leader as required. If it is subsequently identified that further CPD is required then this will be organised by the CPD Leader.

The tracking of individual progress following top-up monitoring will be kept as part of the PM records for each individual staff member, and will be shared and discussed as part of regular monitoring of performance meetings held each term.
Level 3:
For teachers requiring greater support, continuing professional development will be made available. This may include:

- Observing colleagues within school, who can showcase practice that is good or better, followed by personal reflection and commitment to action. (See Appendix C)
- Coaching from teachers or subject leaders within school, which may include team-teaching.
- Observing ‘leading teachers’ in other schools, who can showcase practice that is good or better, through Plymouth Teaching School Alliance, followed by personal reflection and commitment to action. (See Appendix C)
- Procuring a consultant from the Local Authority or a Senior Leader in Education (SLE) through Plymouth Teaching School Alliance, to provide individual and personalised support through analysis of practice, modelling, scaffolded-support and time for reflection.
- Attendance at a day course or extended course, which meets the needs of the individual.
- Analysis of practice by a senior leader, through a series of developmental feedback sessions, so that resources and support can be targeted more precisely and effectively.