

Model Appraisal Policy & Procedure for Teachers and Support Staff in Schools

1. Introduction

1.1 Appraisal arrangements for Teachers are set out in the Education (School Teachers' Appraisal) (England) Regulations 2012 (the Appraisal Regulations).

1.2 The Appraisal Regulations set out the principles that apply to teachers and all maintained schools and unattached teachers employed by a local authority, in each case where they are employed for one term or more.

1.3 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).

1.4 Schools and local authorities must have an appraisal policy for teachers.

1.5 This Whole School Model Policy has been designed for use with all employees of the school including the headteacher, teachers, non-teaching and support staff; it is also for use with unattached teachers employed by SCC.

1.6 As it applies to Teachers and Headteachers, this policy is in line with the provisions of the School Teachers Pay and Conditions Document [STPCD], statutory requirements, the National Standards of Excellence for Headteachers and the Teachers Standards.

1.7 This procedure/policy does not form part of any employee's contract of employment and it may be amended by the Governing Body (or local authority in the case of unattached teachers) at any time, following consultation with recognised Trade unions.

NB: For information, text in bold indicates statutory requirements contained in the Appraisal Regulations or the School Staffing Regulations which apply to Teachers.

2. Model policy for appraising employee performance

The Governing Body of Forsbrook CE Primary School adopted this policy on October 2020.

It has been the subject of consultation with recognised Trade Unions.

The policy will be reviewed in October 2021.

3. Purpose

3.1 This policy sets out the framework for a clear and consistent assessment of the overall performance of teachers, including the headteacher, non-teaching and support staff in the school. The appraisal procedure may also be used to address and manage relevant areas for improvement raised about an employee's performance which are not concerns serious enough to require a Capability process.

3.2 The policy is also the framework for supporting staff development within the context of the school's plan for improving educational provision and performance, and the standards expected of teachers. Through the appraisal process the school seeks to improve outcomes for children/students by improving morale, encourage staff to update skills and encouraging professional dialogue. This policy will be operated separately to the Capability Policy, where this is relevant.

4. Application of the policy

4.1 This policy applies to the headteacher and to all teachers employed by the school or local authority, except those on contracts of less than one term, those undergoing induction (i.e. NQTs) and those who are subject to the Formal Capability Procedure.

4.2 The policy will also be used with non-teaching and support staff so that a consistent approach in the management of staff is effective across the whole school. The headteacher will consider whether it is appropriate to use the appraisal policy for other temporary staff or those subject to probationary period arrangements.

5. Appraisal

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

5.1 The appraisal period

5.1.1 The appraisal period will run for twelve months from September to September for teaching staff, January to December for the headteacher and April to March for teaching assistants.

5.1.2 Teachers and others 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.

5.1.3 The School will work with the member of staff to determine the relevant appraisal period when employment begins or ends during the normal appraisal period and will bring the cycle in line with others as soon as possible, although no member of staff should be unfairly prevented from progressing solely due to length of service.

5.2 Appointing appraisers

5.2.1 The headteacher will be appraised (including objective setting) by a subgroup (usually made up of 3) of the Governing Body, supported by a suitably skilled and/or experienced external adviser who has been appointed by the Governing Body for that purpose.

[Schools should insert here any specific arrangements relevant to the School's Headteacher where different mechanisms apply; for example, Executive Headteachers or Consulting Headteachers supporting Schools experiencing difficulty.]

5.2.2 The headteacher, after consultation, will decide who will appraise other teachers and support staff. Appraisers will be suitably skilled, trained and qualified to undertake the role. Appraisers will normally have line management responsibility for the appraisee and will be responsible for managing all aspects of the appraisal. All appraisers of teachers other than headteachers will have appropriate, relevant and current teaching experience. All appraisers should have Qualified Teacher Status and the appraiser will receive sufficient and appropriate training before undertaking the role. The appraiser should have equivalent or greater level of responsibility than the teacher he or she is appraising, and normally have line management responsibility.

5.2.3 Where a teacher is of the opinion that their appraiser is unsuitable for professional reasons, they may submit a written request to the headteacher (or the Chair of Governors in the case of the headteacher) for an alternative appraiser, stating the reasons for the request. The request will be considered but ultimately it is for the headteacher (or Chair of Governors in the case of the headteacher) to make the decision.

5.2.4 Where possible, alternative appraisers will be offered where there is a genuine and valid reason, or the appointed appraiser is not available due to long term sickness. This will be confirmed with the appraisee at the beginning of the process. Wherever practicable, an appraiser should ONLY have a maximum of four appraisees.

5.2.5 Sufficient time, within directed hours, should be provided to enable the appraiser and appraisee to fulfil their obligations with regard to the appraisal process.

5.3 Setting objectives

5.3.1 The headteacher's objectives will be set by the Governing Body subgroup after consultation with the external adviser. Objectives for each employee will be set before, or as soon as practicable after, the start of each appraisal period. The objectives set for each teacher will, if achieved, contribute to the school's plans for improving the school's educational provision and performance and improving the education of pupils at that school. This will be ensured by quality assuring all teaching objectives against the school improvement plan.

5.3.2 The objectives set for every employee will, if achieved, contribute to the schools' plans for improving the schools' education provision, performance and improving the education of pupils at the school.

5.3.3 When setting objectives, the following principles will be used:

- i. Objectives which are Specific, Measurable, Achievable, Realistic and Time-bound (SMART).
- ii. Objectives which are relevant, realistic and reasonable for the role, responsibility and experience of the post holder and in the context of the schools' wider HR policies.
- iii. The number and type of objectives will be relevant to leadership/management resource of the whole school development plan, pupil progress objectives and contribute to professional development.
- iv. No staff member will be given more than three agreed objectives or additional sub-objectives. Setting more than three agreed objectives can may cause increased workload and in most cases would be inconsistent with the school's strategy for achieving work/life balance for all staff.
- v. Objectives themselves should not be based purely on numerical targets and success should not be determined by meeting these.
- vi. Objectives should be agreed between the appraiser and appraisee but, where this is not possible, determined by the appraiser. Where agreement cannot be reached, the Headteacher will make a determination (or the Chair of Governors, where this is appropriate) following discussion with both parties. The appraisee may add comments to the plan.
- vii. The appraiser will take into account the effects of an individual's circumstances, including any disability or the need to take statutory leave, when agreeing objectives. For example, this might include a reasonable adjustment to allow an individual slightly longer to complete a task than might otherwise be the case. When staff return from a period of extended absence, objectives may be adjusted to allow them to readjust to their working environment.
- viii. Objectives will be quality assured and moderated by the headteacher or nominated performance management lead.

5.3.4 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.

The agreed objectives will contain a description of what success may look like, will be fully related to the circumstances in which the teacher works and any factors outside teachers' control which may significantly affect success will be recognised.

The relevant standards for teachers are the set of standards contained in "The Teachers' Standards" as varied from time to time.

5.4 Reviewing performance

5.4.1 Observation: Teachers

Observation of classroom practice and other responsibilities is important both as a way of assessing teachers' performance in order to identify any particular strengths or areas for development they may have and of gaining useful information which can inform school improvement more generally.

Observation arrangements will be based on the following principles:

- i. The numbers and types of observations will appropriate to the individual circumstances of the teacher and needs of the school, but in all cases will not be excessive.
- ii. Classroom observation for teachers will be carried out by those with QTS, in a supportive fashion, with professional integrity, courtesy and taking account of any potential

circumstances on the day.

- iii. For formal planned observation, 5 working days' notice will be given of time and date.
- iv. 'Drop ins', for example learning walks, will not form part of the formal appraisal evidence.
- v. Verbal feedback should be given very shortly after observation with written feedback of the formal observation within 5 working days.
- vi. Formal responsibilities of the post holder outside of the classroom will also be assessed as part of the appraisal process.
- vii. Overall the number of observations of a teacher will be appropriate and reasonable taking account of the wellbeing and other circumstances of the teacher and the overall needs and resources of the school. Observations may be used for multiple purposes, by agreement, in order to minimise the number of observations being carried out. This should not, in most cases, exceed 3 hours' observation per cycle (adjusted appropriately for the teacher's working patterns).
- viii. These principles are supplemented by a specific school observation protocol (Appendix 2).

5.4.2 Observation: Other Staff and Unattached Teachers

Appropriate mechanisms will be used to review performance for non-teaching staff and unattached teachers employed by the local authority. The overall approach will include the principles set out above but will need to be relevant to the role. Performance review may include:

- i. Review of produced work
- ii. Classroom observations of classroom support staff
- iii. Observation in meetings or service delivery
- iv. Peer Review of classroom support staff
- v. Discussion and other feedback

5.4.3 Reviewing other supporting information

Other information useful for reviewing performance may include:

- i. Lesson plans
- ii. Work sampling
- iii. Pupil progress information
- iv. Pupil progress meetings
- v. Pupil/parental discussion and feedback
- vi. Pupil behaviour management

5.4.4 Development and support

Appraisal is a supportive process which will also be used to inform continuing professional and general development. It is important to encourage a culture in which all employees take responsibility for improving their performance and appropriate professional development. Professional development will be linked to school improvement priorities and to the ongoing professional development needs and priorities of individual teachers and other members of staff.

The schools' CPD Plan will be informed by the training and development needs identified in appraisees' planning and review statements. In planning and providing budget and resources for staff development the Governing Body will take account of:

- i. The training and support required to meet school priorities
- ii. The support agreed as essential for an appraisee to meet their objectives
- iii. The future aspirations of all staff
- iv. Fair and equal access to development

An account of the support and development needs of staff in general, including the instances where it did not prove possible to provide any of the agreed CPD and the reasons for this not being provided, will form a part of the head teacher's annual report to the Governing Body about the operation of the appraisal process in the school.

5.4.5 Feedback

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

The appraisal meeting should hold no surprises for any member of staff as any concerns over performance should have been raised during the appraisal cycle. The appraiser will give consideration, as with the setting of objectives, to any circumstances or health issues which may have impacted on performance. Where any aspects of the employee's performance (as opposed to points for development) are of concern, the appraiser will meet him/her as soon as possible to:

- Give clear feedback about the nature and seriousness of the concerns;
- Give the employee the opportunity to comment and discuss the concerns;
- Re-confirm the requirements to be met (including reviewing set objectives to ensure they are achievable)
- Agree any support (e.g. coaching, mentoring, training, structured observations), that will be provided to help address those specific concerns;
- Make clear how, and by when, the appraiser will review progress, allowing an appropriate period of time to address the issues raised;
- Explain the implications and process if no – or insufficient – improvement is made
- The appraisee should receive – and be able to comment in writing upon – a written note of the meeting.

When progress is reviewed, if the appraiser is satisfied that the employee has made, or is making, sufficient progress, the appraisal process will continue as normal, with any remaining issues continuing to be addressed through that process.

5.4.6 Where concerns continue

Employees should not be held accountable for failing to make good progress towards meeting their objectives where the CPD or support recorded in the planning statement as being required to make progress has not been provided.

No member of staff should be subject to formal Capability procedures without understanding in full that this is the case, the reasons for this process being initiated, and the possible outcomes should the process not result in the necessary improvements.

If, however, despite support and opportunities to improve, the appraiser continues to have serious

concerns that inadequate improvement/progress has been made, the appraiser will consider in consultation with the headteacher as appropriate, whether the Capability procedure should be used. Should this be the case the employee will be invited in writing to a meeting under the school's Capability Policy.

At all stages of the appraisal and Capability procedures employees are able to seek advice and guidance from their Trade Union representatives or other forms of support.

Where appropriate improvement is achieved under this separate policy and any capability process ceases, the employee's performance and development will be managed again in accordance with the Appraisal policy.

6. Annual assessment

6.1 Each teacher's performance will be formally assessed in respect of each appraisal period. This approach applies similarly to non-teaching/support staff. **In assessing the performance of the headteacher, the Governing Body must consult the external adviser.**

6.2 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 at specified intervals

6.3 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. The appraisal report will include:

- details of the employee's objectives for the appraisal period in question;
- **an assessment of the employee's performance of their role and responsibilities against their objectives and the relevant standards;**
- **an assessment of the employee's training and development needs and identification of any action that should be taken to address them;**
- other items specified by the school;
- a space for the appraisee's own comments.

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

An account of the support and development needs of teachers in general, including the instances where it did not prove possible to provide any the agreed CPD and the reasons for this not being provided, will form a part of the head teacher's annual report to the Governing Body about the operation of the appraisal process in the school.

A short, written summary of the appraisal discussions held and objectives set should be provided to non-teaching staff.

7. Pay Progression

7.1 The head teacher will make recommendations regarding pay progression to the Governing Body's pay committee in line with the school's Pay Policy and based on the statutory criteria and guidance set out in the STPCD and the relevant teacher standards. The Governing Body must

ensure that the process is fair and equitable.

7.2 Dates for Pay Progression decisions are 31st October for teachers and 31st December for headteachers.

7.3 Maintained schools must continue to adhere to the School Teachers' Pay and Conditions Document (STPCD), which includes the requirement to ensure that all pay progression for teachers is linked to performance management. We would expect schools to use their discretion and take pragmatic steps to adapt performance management and appraisal arrangements to take account of the current circumstances. Schools must ensure that teachers are not penalised during the appraisal process or in respect of any subsequent pay progression decisions as a result of the decision to restrict pupil attendance at schools, such as where this has had an impact on the ability of the teacher to meet fully their objectives.

7.4 Staffordshire County Council recommends, where employees were subject to a formal capability process prior to the Covid-19 'lockdown', if it has not been possible to implement a supportive improvement plan due to the circumstances, then a further period should now be allowed to enable this to occur.

8. Appeal

8.1 The appraisee may appeal against the Appraisal Report by appealing to the headteacher or the governing body (where headteacher has been the appraiser) within 10 working days, setting out the reasons for appeal and requesting a meeting to discuss their concerns. The meeting will be held in line with the Formal Meeting Procedure. They may be accompanied by a trade union representative/official or colleague. The Employee will be informed in writing of the outcome of the appeal as soon as possible following the meeting, but at the latest within 5 working days of the appeal meeting.

8.2 Where the headteacher has not been recommended for pay progression they will be informed by the appropriate governor. The headteacher will notify any teacher who has not been recommended for pay progression. The headteacher/employee may exercise the right of appeal to the Governing Body following its decision on pay, as above, assisted by a trade union representative/official or colleague.

Appendix 1 General principles underlying this Policy

This Policy should be read in conjunction with other HR Policies adopted by the School.

Confidentiality

The appraisal processes will be treated with confidentiality. Access to appraisal records will generally be restricted to Appraiser/Appraisee and line manager (where different). However, the desire for confidentiality does not override the need for the headteacher and governing body to quality-assure the operation and effectiveness of the appraisal system. The headteacher or appropriate colleague might review all teachers' objectives and written appraisal records personally, in order to check consistency of approach and expectation between different appraisers.

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.

Definitions

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

Where the term 'working days' is used, it is intended to indicate days on which the school is open, and staff are expected to attend; therefore, it includes inset days but specifically excludes periods of school closure.

Delegation

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

Monitoring and Evaluation

The governing body and headteacher will monitor the operation and effectiveness of the school's appraisal arrangements.

The headteacher will provide the governing body with a written report on the operation of the school's/academy's appraisal policy annually. The report will not identify any individual by name. The report will include an assessment of the impact of these policies on:

- Race
- Sex
- Sexual Orientation
- Disability
- Religion and 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.

Retention

The Governing Body and head teacher will ensure that all written appraisal records are retained

and stored in a secure place in line with their Retention and Disposal Policy. The appraisee should retain their own copies.

Appendix 2 - Classroom Observation Protocol for Appraisal Purposes

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

- carry out the role with professionalism, integrity and respect;
- evaluate objectively;
- report accurately and fairly, in a timely manner;
- respect the confidentiality of the information gained, and;
- seek to reach agreement in advance on how classroom observations are to be carried out.

The total period for classroom observation arranged for any teacher, for appraisal purposes, will not exceed three hours per cycle, ensuring the time is proportionate to the individual circumstances and needs of the teacher. There is no requirement to use all of the three hours.

In this school 'proportionate to need' will be determined in keeping with the following principles:

1. Prior to the appraisal observation the context of the observation will be confirmed between the appraiser and appraisee and included in the planning and review statement, which will detail:
 - a. the amount of observation
 - b. its primary purpose
 - c. any particular aspects of the teacher's performance which will be assessed
 - d. the duration of the observation
 - e. when during the appraisal cycle the observation will take place, and
 - f. who will conduct the observation.
2. Where evidence emerges about the appraisee's teaching performance which gives rise to concern during the cycle, additional classroom observations may be agreed, subject to a revision meeting being held.
3. Information gathered during the observation will be used, as appropriate, for a variety of purposes. These include informing school self-evaluation and school improvement strategies in accordance with the school's commitment to streamlining data collection, minimising bureaucracy and workload burdens on staff.
4. In keeping with the commitment to supportive and developmental classroom observation, those being observed will be notified in advance of the date and time of the observation, with at least 5 working days' notice of the appraisal observation.
5. 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.
6. Verbal feedback will be given as soon as possible after the observation and no later than the end of the following working day. It will be given during directed time, in a suitable, private environment.
7. 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 in accordance with the regulations and guidance.

8. The written record of feedback should include the date on which the observation took place, the lesson observed and the length of the observation. 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.

Whole School Appraisal Policy Flowchart

