Model Appraisal Policy for Schools

This Policy was adopted and reviewed by The Oak Tree Federation in January 2019

Date: September 2015

Reviewed December 2016

Reviewed December 2017

Reviewed January 2019

Document summary

This policy sets out the framework for a clear and consistent assessment of the overall performance of teachers, including head teachers, 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.

(OPTIONAL – This policy also applies to managing the performance of all support staff).

This policy sits alongside the Model Capability Procedure for Schools and Appendix 1 and 2 of this Policy.

Contents

1. Introduction 4
2. Model Appraisal Policy for Schools 4
3. Application of the Policy 4
4. Appraisal 5
5. The appraisal period 5
6. Appointing Appraisers 5
7. Setting Objectives 5
8. Reviewing Performance: Observation 6
9. Development and Support 6
10. Feedback 7
11. Transition to the capability procedure 7

12. Annual Assessment 7
13. Support Staff 9
Appendix 1 Joint Statement of Principles on Teacher Appraisal and Capability 9
Appendix 2 Model Classroom Observation Protocol 10

About this document:

Enquiries: Personnel & Training Author: Janet Bowen Telephone: 01273 4481300 Email: Please contact your designated HR Adviser for further advice and guidance **Download this document** From: https://czone.eastsussex.gov.uk/schoolpersonnel/performance/Pages/managingperformance.aspx	**Version number:** 3 **Related information:** Ofsted documents www.ofsted.gov.uk Teacher Standards www.education.gov.uk Model Capability Procedure for Schools Guidance for Teacher and Headteacher Appraisal

Accessibility help

Zoom in or out by holding down CTRL and turning the mouse wheel.

CTRL and click on the table of contents to navigate.

Press CTRL and Home key to return to the top of the document

Press Alt-left arrow to return to your previous location.

Text in italics does not form part of the policy itself, but acts as additional advice for schools

Model Appraisal Policy for Schools

1. Introduction

1.1. The 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).

1.2. 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.

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 and a policy, covering all staff, which deals with lack of capability. The ESCC model policy is based on the DfE model policy which applies only to teachers (including Headteachers and Executive Headteachers), however the ESCC model policy sits alongside policies that are in place for support staff and schools may wish to insert the details of the school's own appraisal or performance management scheme for support staff i.e. Performance Management Policy (Support Staff). The policy has been written in the context of schools, but the same principles apply to unattached teachers.

1.5. It is good practice for schools to consult staff/union representatives on their appraisal and capability policies. Trade unions have taken part in the consultation process and have contributed to both the model appraisal and the model capability policies.

1.6. This model policy reflects the 2012 Appraisal Regulations and replaces the Model Performance Management Policy & Classroom Observation Protocol which was introduced to support the 2006 Regulations. This version of the model policy has been updated in 2015 to reflect recent changes to teachers' pay as set out in the STPCD.

1.7. *Text in italics* does not form part of the policy itself, but acts as additional advice for schools.

1.8. This policy should be read in conjunction with the separate Model Capability Policy and Procedure which sets out the procedure to be followed where there are serious concerns about a member of staff's performance that the appraisal process has been unable to address.

2. Model Appraisal Policy for Schools

The Governing Body of The Oak Tree Federation adopted this policy on 28.1.19.

3. Application of the Policy

(OPTION ONE)

3.1. This policy applies to the Executive 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 Capability Procedure.

3.2. This policy also applies to support staff.

4. Appraisal

4.1. 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.

5. The appraisal period

5.1. The appraisal period will run for twelve months from October to October for teaching staff and November to November for Support staff.

5.2. 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.

5.3. *There is flexibility to have a longer or shorter appraisal period when teachers begin or end employment with a school or local authority or when unattached teachers change post within the same authority.*

5.4. *For the purposes of accessing the upper pay range and for progression on the upper pay range you should refer to the School Teachers Pay & Conditions Document (STPCD).*

6. Appointing Appraisers

6.1. The Executive Headteacher 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.

6.2. In this school the task of appraising the Executive Headteacher, including the setting of objectives, will be delegated to a sub-group consisting of at least two members of the Governing Body.

6.3. The Executive Headteacher will decide who will appraise other teachers.

7. Setting Objectives

7.1. Executive Headteacher objectives will be set by the Governing Body after consultation with the external adviser.

7.2. 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 (SMART) and will be appropriate to the teacher's role and level of experience (not normally more than 3 for classroom teachers). In setting objectives, the appraiser will consider what can reasonably be expected in the context of roles responsibilities and experience and consistent with the school's strategy for achieving a work/life balance for all staff. The appraiser will take into account the effects of an individual's disability when setting objectives. The appraiser and teacher will seek to agree the objectives but, if that is not possible, the appraiser will determine the objectives. Objectives may be revised if circumstances change.

7.3. 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 objectives*

against the school improvement plan. If a teacher's line manager(s) is not his/her assessor, the line manager can see the teacher's objectives.

7.4. 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. *With the exception of those who are qualified teachers by virtue of holding and maintaining Qualified Teacher Learning and Skills (QTLS) status, the appraisal process for all teachers should be informed by the set of standards contained in the document called "Teachers' Standards" published in July 2011;The Executive 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.*

7.5. *For teachers who are qualified teachers by virtue of holding QTLS status, it is for the governing body or Executive Headteacher to decide which standards are most appropriate. Such teachers may be assessed against the Teachers' Standards, against any other sets of standards issued by the Secretary of State, against any other professional standards relevant to their performance or any combination of those three. Some schools may already be using effective in-house CPD programmes to develop improved practice.*

8. Reviewing Performance: Observation

8.1. 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 observations will be carried out in a supportive fashion (schools may like to be more specific here about how observations will be conducted –see Appendix 2 – Model Classroom Observation Protocol).In this regard, 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.

8.2. In addition to formal observation, the Executive Headteacher, Head of School 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 ins" will vary depending on specific circumstances (*see Appendix 2 - Model Classroom Observation Protocol).*

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

9. Development and Support

9.1. 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 ongoing professional development needs and priorities of individual teachers.

10. Feedback

10.1. Teachers will receive constructive feedback on their performance throughout the year and as soon as practicable after observation has taken place or other evidence has come to light. Feedback will acknowledge good and outstanding performance and highlight particular areas of strength as well as any areas that need attention.

10.2. If at any point during the usual appraisal cycle concerns arise about any aspect of a teacher's performance, the appraiser will invite the teacher in writing to meet with the teacher formally to:

- give clear feedback to the teacher about the nature and seriousness of the concerns;
- give the teacher the opportunity to comment and discuss the concerns;
- agree any support (e.g. coaching, mentoring, structured observations), that will be provided to help address those specific concerns;
- make clear how, and by when, the appraiser will review progress (it may be appropriate to revise objectives, and it will be necessary to allow sufficient time for improvement, which will not usually be less than 6 weeks, although this period may be shorter if there are serious concerns;
- explain the implications and process if no, or insufficient improvement is made.

10.3. A written summary of the meeting should be sent to the teacher following the meeting covering all the above points.

10.4. The school should consider contacting Personnel and Training for advice when a teacher's performance is of cause for concern. Where concern is being raised in accordance with paragraph 10.2 above in relation to a staff member who is a trade union representative, it is advisable to consult with Personnel and Training to raise the matter with a senior trade union representative or full-time official.

10.5. When progress is reviewed, 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.

11. Transition to the capability procedure

11.1. If the appraiser is not satisfied with the progress in the focused support period agreed, 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. The teacher will then be invited to a formal capability meeting.

12. Annual Assessment

12.1. Each teacher's performance will be formally assessed in respect of each appraisal period. In assessing the performance of the Executive Headteacher, the Governing Body must consult the external adviser.

12.2. 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 (*e.g. once a term).*

12.3. 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. In this school, teachers will receive their written appraisal reports by 31 October (31 December for the Executive Headteacher). 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);*

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

13. Pay progression linked to performance

13.1 The governing body must consider annually whether or not to increase the salary of teachers who have completed a year of employment since the previous annual pay determination and, if so, to what salary within the relevant pay ranges.

13.2 The decision, whether or not to award pay progression, must be related to a teacher's performance. A pay recommendation must be made in writing as part of a teacher's annual appraisal report. Continued good performance, as defined by an individual school's pay policy, should give a classroom or an unqualified teacher an expectation of progression to the top of their respective pay ranges. A decision may be made not to award pay progression, whether or not the teacher is subject to capability proceedings, however teachers must be informed in writing about concerns regarding their standards of performance in the course of the annual appraisal cycle which have not been sufficiently addressed.

13.3 The relevant body must set out clearly in the school's pay policy how pay progression will be determined. The head teacher will be responsible for ensuring that appropriate arrangements are put in place to support the links between performance and pay and that rates of pay progression are affordable and comply with prevailing legislation (e.g. Equal Pay).

13.4 Where teachers are eligible for pay progression, the recommendation made by the appraiser will be based on an assessment of performance against agreed performance 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.

13.5 To move up the main pay range, one point at a time, teachers will need to have made good progress towards achieving their objectives and have demonstrated that they are fully competent in all elements of the Teachers' Standards. Teaching should be 'good', as defined by Ofsted

.

13.6 If the overall appraisal evidence shows that a teacher has demonstrated exceptional performance, the governing body will consider awarding enhanced pay progression. Teaching should be 'outstanding', as defined by Ofsted.

13.7 Teachers will work with their appraisers to ensure that there is sufficient evidence to support pay recommendations. Teachers will also keep records of objectives and review them throughout the appraisal period.

13. Support Staff

13.1 The appraisal meeting is an opportunity for a 2 way conversation to recognise the contribution made by an individual over the last 12 months, the time to set work targets/objectives for the coming year and an opportunity to identify training needs. Support staff appraisals will take place by 30th November.

Appendix 1 Joint Statement of Principles on Teacher Appraisal and Capability

- This statement is produced by the ASCL, ATL, NAHT and NUT
- Appraisal is a thorough yet supportive and developmental process which assists teachers in improving their performance by concentrating on key objectives and must include open and honest discussions between the appraiser and the appraisee;
- The above unions believe that schools should have separate appraisal and capability policies in order to facilitate the discussions needed to ensure the effectiveness of the appraisal process in managing performance. Capability procedures would not normally commence until it is clear that it is necessary, following on from the appraisal process;
- Objectives should be set following consultation with teachers and should be clearly defined, with appraisers and appraisees clear what success will look like and how progress will be measured;
- Observation for appraisal should be planned, with sufficient notice given and a clear focus linked to agreed objectives;
- Feedback should be given swiftly after any observation;
- Observation should be kept to the minimum needed to determine that objectives are met and in accordance with local agreements;
- Implication of insufficient progress should be clearly explained to the teacher;
- Where concerns are raised the teacher will receive appropriate support as part of the appraisal process. The support to be offered will be agreed in advance and may include classroom observation alongside other support for example additional training and visits to other classes. The length of any period of support will be subject to locally agreed protocols;
- If after the period of support sufficient progress has not been made, then the school may consider moving to capability. A clear distinction must be made when the teacher moves from the supportive appraisal process to capability;
- The DfE capability model should not be used for capability concerns arising as a result of ill-health (schools must have a separate policy for this);
- Care will be taken to ensure that appraisal and capability procedures are used in such a way as to avoid discrimination, with monitoring for equality purposes.

Appendix 2 Model Classroom Observation Protocol

1.1. The Governing Body of The Oak Tree Federation Schools is committed to ensuring that classroom observation is developmental and supportive and that those involved in the process will:

- 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;
- agree any support (e.g. coaching, mentoring, structured observations), that will be provided to help address those specific concerns;
- make clear how, and by when, the appraiser will review progress *(it may be appropriate to revise objectives, and it will be necessary to allow sufficient time for improvement, although the actual time will depend on the individual circumstances. 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.

1.2. Although the national limit of 3 hours of classroom observation during an annual performance review cycle has been removed from 1 September 2012, the Governing Body is committed to ensuring that the amount of observation (and time between observations irrespective of their purpose) for each teacher should be appropriate, reasonable and proportionate to the needs of the individual, and is not normally expected to exceed 6 hours.

1.3. In accordance with these principles, the arrangements for classroom observation and/or task observation will be included in the appraisal planning statement. In this sense, it is advisable for the Executive Headteacher to consult with staff/union representatives over the pattern and planned approach for observation. The statement will:

- include the number of observations, which will not normally exceed three observations over the course of the annual appraisal cycle;
- specify its primary purpose;
- specify any particular aspects of the teacher's performance which will be assessed;
- specify the duration of the observation, which will not normally exceed three hours (not including feedback) in total over the course of the annual cycle; and
- specify when during the appraisal cycle the observations will take place and who is likely to conduct the observations.

1.4. Where concerns emerge about a teacher's performance during the annual cycle, additional classroom observations may be arranged.

1.5. In keeping with the Governing Body's commitment that classroom observation should be both supportive and developmental; those being observed will be notified at least *5* working days in advance of the time and date of the observation. Every effort will be made for an observation to be made at the agreed time.

1.6. Classroom observations of teachers will only be undertaken by persons with QTS who have had adequate preparation and the appropriate professional skills to

undertake observation and to provide constructive oral and written feedback and support.

1.7. Oral 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.

1.8. Written feedback will normally 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.

1.9. The written record of feedback also includes 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.

2. For ongoing monitoring purposes

2.1. The Executive Headteacher and Head of School have a duty to evaluate the standards of teaching and learning and to ensure that proper standards of professional performance are established and maintained throughout the school. Executive Headteachers and the Head of School have a right to drop in to classrooms to inform their monitoring of the quality of learning throughout the school.

2.2. Learning walks and other short visits such as 'drop ins' (Blinks) may take place in order to collect evidence about teaching and learning, evidence of progress and areas for school staff development.

2.3. While information gathered during the appraisal process may be used, as appropriate for a variety of purposes including informing school self evaluation and school improvement strategies, the Executive Headteacher may determine that it is necessary to collect such evidence as their professional judgment dictates and this may include additional classroom observations.

2.4. Monitoring may take a form that is not accurately described as lesson observation, which is usually of teaching and learning. Instead for example, it may have a focus on the standards of attainment by the children, the impact of programmes of study on learning or pupil behaviour. The monitoring might, for example, involve: work scrutiny, analysis of assessment results or an examination of lesson planning records. It may also be 'light touch' and relatively informal.

2.5. Reasonable notice will be given of additional observations but depending on the particular circumstances, it may not be practicable to provide advance notice of the monitoring activities that are carried out for purposes other than appraisal.

2.6. The number and duration of monitoring activities will be for the Executive Headteacher and Head of School to determine as appropriate.