



THOMAS BEWICK SCHOOL

School Appraisal Policy for Teachers and Support Staff

DRAFT

1 Scope

This policy is recommended for adoption by the governing bodies of community, voluntary controlled, voluntary aided and foundation trust schools.

2 Purpose

The purpose of this policy is to set out the framework for a clear and consistent assessment of the overall performance of teachers/head teachers and support staff and support for their development needs within the context of the school's plan for improving educational provision and performance, and the standards expected of teachers and support staff.

The process will be supportive and developmental and foster professional dialogue between colleagues.

There are three separate parts to this policy:

- Section A: procedure to review the performance of support staff during their probationary period;
- Section B: procedure to review the performance of newly qualified teachers during their induction period; and
- Section C: appraisal arrangements for qualified teachers outside their induction period, unqualified teachers and support staff outside their probationary period. Staff who are the subject of the school's capability procedure are excluded from these arrangements.

3 Legal considerations

Newly qualified teachers (NQTs): It is a statutory requirement that NQTs who wish to work in maintained schools undertake a compulsory period of induction. During the induction period the NQT has to demonstrate that they continue to meet the standards of Qualified Teacher Status (QTS) and meet all the core standards for teachers.

Appraisal regulations: It is a legal requirement that the governing body has a policy for managing and reviewing the performance of teachers and headteachers that meets the statutory requirements of the Education (School Teachers' Appraisal) (England) Regulations 2012. There are no equivalent national regulations or collective agreements that apply to support staff, however schools are advised to apply similar arrangements.

4 Roles and responsibilities

- **Governing Body:** The governing body has responsibility to establish the school's appraisal policy, monitor the operation and outcomes of 2 appraisal arrangements and review the policy and its operation every year.

The governing body will also appraise the Head teacher on an annual basis and will be advised by a suitably skilled and experienced external adviser.

The task of appraising the Headteacher including the setting of objectives will be delegated to a sub group of 2 or 3 members of the Governing Body.

- **Head Teacher:** The Headteacher is responsible for reporting annually to the governing body on appraisal arrangements and training and development needs.

The Headteacher must appraise the performance of every other teacher employed at the school in respect of each appraisal period applying in relation to the teacher,

The Headteacher will decide who will contribute to the appraisal process for other teachers and support staff in the school.

The Headteacher is responsible for evaluating standards of teaching and learning and ensuring proper standards of professional practice are established and maintained. The Head will take account of appraisal outcomes in school improvement planning and ensure the school produces and resources an effective plan for the professional development of its workforce.

- **Appraisers:** Where the Headteacher has delegated responsibility for the appraisal process to other line managers, those appraisers will undertake the role. Where the appraisee is a teacher eligible for performance pay, this will include making a recommendation about progression to the Headteacher. It is the responsibility of appraisers to ensure that objectives are set, the implementation of the classroom observation protocol, the gathering of other evidence, the application of performance criteria, any pay recommendation and the feedback are appropriate in terms of equal opportunities considerations.
- **Appraisees:** All staff are expected to play an active role in their own appraisal and professional development including taking action as agreed at appraisal meetings.
- **Local Authority (LA):** The LA is responsible for an NQT's training, support, guidance and supervision during their induction period.

5 Relationship with other policies and procedures

Pay Policy: The school's pay policy sets out the discretions in performance pay determination for teachers, as provided for by the School Teachers' Pay and Conditions Document. This also sets out how a member of staff may appeal against any determination in relation to his or her pay.

School Workforce Continuing Professional Development Policy: The school's policy outlines the governing body's commitment to effective CPD for all staff and sets out the approval criteria for requests.

Procedures for Managing Under Performance/Capability

Procedure: If the appraiser is not satisfied with progress after a period of support within the appraisal/performance management process, the teacher will be notified in writing that the appraisal system will no longer apply and that performance will be managed under the Procedures for Managing Under Performance/Capability Procedure, and will be invited to a formal capability meeting.

Grievance Procedure: This procedure should be used if the employee wishes to complain about the operation of the school's appraisal arrangements. Any grievance about the interpretation or application of the policy will not delay the various stages of the process or the overall timetable determined by the school as appropriate.

6 Monitoring and review

- Feedback is encouraged from governing bodies and head teachers on the effectiveness of the model policy provided by the LA. It will be reviewed on an annual basis to ensure it is appropriate in light of recommended best practice and complies with statutory regulations. In the event of any conflict with statutory regulations, the legal provisions will have precedence over this policy in all cases.
- The governing body will review the policy every year including the processes for moderation and quality assurance, taking account of the Headteacher's report. It will seek to agree any revisions to the policy with the recognised trade unions having regard to the outcomes of the consultation with all staff.
- Governing bodies should monitor the application of this policy, particularly to ensure that their practices comply with it and are not discriminatory.

Revision Record of Published Versions			
Author	Creation Date	Version	Status
HR Services	March 2012	1.0	Draft Model Policy
	12 April 2012	1.1	Amended following consultation
	26 April 2012	1.2	Amended further following consultation
	29 May 2012	2.0	FINAL
Changed by	Revision Date		
School			Draft for consultation with staff and trade union representatives
School			Final version approved by governing body

Section A - Reviewing performance during the probationary period of support

staff

A1 Application of probationary period scheme

- It is the policy of the City Council and the governing bodies of voluntary aided schools that new entrants to local government have a probationary period of six months. The purpose of probation is to assess the employee's suitability and capability to perform in their job role.

A2 Reviewing progress during the probationary period

- A series of progress meetings should take place during the probation period so that the employee and their line manager have the opportunity to discuss any issues.
- Progress meetings should take place on/at:
 - day 1;
 - the end of weeks 2, 4, 12 and 20; and
 - the end of week 26 which is the end of the probationary period.
- The progress meetings should consider:
 - work output;
 - work quality;
 - relationships with other people;
 - attitudes
 - attendance;
 - knowledge;
 - any additional support required; and
 - training and development needs.
- The employee will see the agenda in advance of the meeting and be given the opportunity to add anything they wish to discuss. Notes of each meeting should be taken and should include any action points agreed. Follow-up action, including arranging additional support or training, should be done within the agreed timescale.
- The procedure to follow if concerns about the employee's performance arise during the probationary period is set out in the school's 'Procedures for Managing Under Performance'.

Section B – Reviewing performance during the induction period of newly qualified teachers

B1 Application of induction period

- The arrangements that apply to the monitoring, support and assessment of NQTs during their induction period are set out in the DCSF statutory guidance 'The Induction Support Programme for Newly Qualified Teachers'.

B2 Reviewing progress during the induction period

- Professional reviews of progress will take place between the NQT and their induction tutor throughout the induction period, at least every six to eight weeks. These reviews will be informed by evidence of the NQT's work including classroom observations. The meeting will cover the review and revision of objectives in relation to the professional standards for teachers on the mainscale and the needs and strengths of the NQT. A written record will be kept of progress towards objectives and any new objectives set, as well as any support provided.
- Three formal assessment meetings will take place in the total induction period between the NQT and either the head teacher or the induction tutor acting on behalf of the head teacher. These will be held towards the end of each term. Judgements will be based on evidence gathered during the induction period and will relate directly to the professional standards for qualified teachers and mainscale teachers. The evidence that will be considered is:
 - written reports of at least two lesson observations and two progress review meetings that have taken place during the term;
 - formal and informal assessment records for pupils for whom the NQT has had particular responsibility.
 - information about liaison with others, such as colleagues and parents;
 - the NQT's lesson plans, records and evaluations; and
 - the NQT's self assessment and record of professional development.
- The procedure to follow if the NQT fails to make satisfactory progress during the induction period is set out in the school's 'Procedures for Managing Under Performance'.

Section C - Appraisal arrangements for qualified teachers outside their induction period, unqualified teachers and support staff outside their probationary period

C1 Policy statement

The governing body will operate an appraisal policy that:

- reflects the aims, objectives and priorities of the school improvement plan by providing an appropriate framework for the assessment of performance, which in turn informs school self-evaluation and school development planning;
- aims to recognise the work of staff and their contribution to school life and support their development needs;
- is consistent with the statutory requirements for appraisal for teachers;
- aims to minimise workload and bureaucracy and has regard to the work/life balance of all staff and governors;
- is developed in consultation with staff and recognised trade union representatives and is accessible to all;
- is consistent with the principles of public life - objectivity, openness and accountability;
- establishes an appropriate mechanism for considering grievances in relation to individuals' appraisal; and
- achieves consistency of treatment and fairness including compliance with equalities legislation.

The governing body will ensure in its budget planning that, as far as possible, appropriate resources are made available in the school budget for any training and support agreed for staff under the appraisal process. This is reflected in the school's CPD policy.

C2 The Appraisal Period

- The performance of teachers and support staff will be reviewed on an annual basis. The appraisal process will be completed for all teachers and support staff by 31 October and for Headteachers by 31 December.
- The appraisal period will run for twelve months from September/October to July for staff and from December to November for the Headteacher.
- 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.

C3 Appointment of Appraisers

C3.1 For the Headteacher

The governing body is the appraiser for the Headteacher and will delegate this responsibility by appointing two or three governors.

The external adviser appointed will provide the appraising governors with advice and support about the appraisal of the Headteacher.

C3.2 For teachers

The Headteacher will be the appraiser for those teachers they directly line manage. Where the head teacher is not the direct line manager, the role of appraiser for some or all teachers will be delegated to the teacher's line manager. Where a teacher has more than one line manager the Headteacher will determine which line manager will be best placed to appraise the teacher's performance. All line managers to whom the Headteacher has delegated the role of appraiser will receive appropriate support for that role.

Where an appraisee is of the opinion that the person to whom the Headteacher has delegated the appraiser's duties is unsuitable for professional reasons, they may submit a written request to the Headteacher for the appraiser to be replaced, stating those reasons. The request will be considered and a written response giving reasons for the decision provided within 10 working days.

C3.3 For support staff

The Headteacher will be the appraiser for those support staff that they directly line manage. Where the Headteacher is not the direct line manager, the role of appraiser for some or all support staff will be delegated in its entirety to the member of staff's line manager. Where a member of support staff has more than one line manager the head teacher will determine which line manager will be best placed to manage and review performance. All line managers to whom the Headteacher has delegated the role of appraiser will receive appropriate support for that role.

C4 Objectives and Standards

C4.1 Setting Objectives

- The Headteacher's objectives will be set by the Governing Body after consultation with the external adviser.
- Objectives for each teacher (and member of support staff) will be set before or as soon as practicable after the start of each appraisal period.
 - The objectives set will:

- if they are achieved, contribute to school's plans for improving the school's educational provision and performance and improving the education of pupils at the school;
- be rigorous, challenging, achievable, time-bound, fair and equitable for staff with similar roles/responsibilities and experience;
- have regard to what can reasonably be expected of any appraisee in that position given the desirability of the appraisee being able to achieve a satisfactory balance between the time required to discharge their professional duties and the time required to pursue their personal interests outside work, consistent with the school's strategy for bringing downward pressure on working hours;
- reflect the employee's experience and professional aspirations; and
- be quality assured against the school improvement plan

C4.2 Teachers' Standards

Before, or as soon as practicable after, the start of each appraisal period, each teacher will be informed of the standards against which their performance in that appraisal period will be assessed. All teachers should be assessed against the set of standards contained in the document called "Teachers' Standards" published in July 2012. The Headteacher 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.

C5 Reviewing Performance

C5.1 Observation

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 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 in accordance with the School's Classroom Observation Protocol.

In this school teachers' performance will be observed on no more than three occasions, each observation lasting no longer than one hour, 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, Headteacher or Deputy Headteacher 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 the specific circumstances of the school.

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

C5.2 Other evidence

The other evidence, in addition to classroom observation where it is appropriate, that is planned to be taken into account in reviewing the employee’s performance will be appropriate to the objectives set.

- In this school other evidence may include:
 - pupil data
 - evidence from school-based monitoring and evaluation systems including
 - feedback from individuals with direct professional knowledge of the appraisee’s work (including from outside the school where the appraisee is involved in outreach work or has a wider role within the community or locality);
 - evidence of outcomes identified for leadership and management objectives;
 - evidence of outcomes identified for administrative, professional or technical objectives; and
 - the outcomes of the appraisee’s engagement in professional development including feedback on the contribution they have made to the development of others.

C5.3 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 and support staff share responsibility for improving their teaching through appropriate professional development with the school. Professional development will be linked to school improvement priorities and to the ongoing professional development needs and priorities of individual teachers. The planning meeting will provide discussion around fulfilling objectives and timing, duration and focus of lesson observations

C6 Feedback

Teachers and support staff 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 highlight particular areas of strength as well as any areas that need attention. Where

there are concerns about any aspects of the teacher's performance the appraiser will meet the teacher formally to:

- give clear feedback to the teacher or support staff about the nature and seriousness of the concerns;
- give the teacher or support staff the opportunity to comment and discuss the concerns;
- agree any support (eg 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. 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.
- This will be confirmed in writing, wherever possible within four working weeks.

C7 Concerns about an Appraisee's Performance

C7.1 Addressing Concerns

- Where during the course of an appraisal cycle concerns arise relating to an appraisee's performance the appraiser should bring these matters to the attention of the person concerned at a Review Meeting.
- The appraiser should clearly identify the shortfall in performance and required standards that need to be met.
- The appraiser should give the appraisee a reasonable period of time to improve [review period] and state clearly how their performance will be monitored and assessed during this period.
- The appraiser should make it clear to the appraisee that failure to achieve the required standards within the review period will result in the matter being dealt with under the Capability Procedure.
- Written records of the meetings, arising actions etc should be kept.
- During this monitoring period the appraisee will be given regular feedback on progress made and arrangements will be made to modify the support if appropriate.

C7.2 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 performance will be managed under the Procedures for Managing Under Performance/Capability Procedure, and will be invited to a formal capability meeting.

C8 Annual Assessment

- Each appraisee's performance will be formally assessed in respect of each appraisal period. In assessing the performance of the Headteacher, the Governing Body must consult the external adviser.
- The Headteacher/reviewer will assess and make a decision about the content of each appraisal report and where the appraisee is a teacher eligible for performance pay, this will include making a recommendation about progression to the Staffing/Pay Review Committee.
- 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 at interim meetings held during working time, if necessary.
- The appraisee 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, appraisees will receive their written appraisal reports by 31 October (31 December for the Headteacher). The appraisal report will include:
 - details of the appraisee's objectives for the appraisal period in question;
 - an assessment of the appraisee's performance of their role and responsibilities against their objectives and the relevant standards;
 - an assessment of the appraisee's training and development needs and identification of any action that should be taken to address them;
 - a recommendation on pay where that is relevant
- The assessment of performance and of training and development needs will inform the planning process for the following appraisal period.

When progress is reviewed, if the appraiser is satisfied that the appraisee 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

C9 Appeals

- If an appraisee wishes to appeal against any determination in relation to his or her pay the procedure is set out in the school's pay policy.
- If an appraisee is unhappy with the content of the written appraisal report, he or she should use the School's Grievance procedure.

C10 Confidentiality

- The whole appraisal process including the written appraisal report will be treated with strict confidentiality at all times, subject to the

- arrangements for access to this and other evidence set out below.
- Appraisal reports will be retained by the Headteacher, or in the case of the Headteacher the chair of governors, for a minimum period of 6 years from the end of the cycle.
 - Where the person undertaking classroom observation is not the appraiser, sufficient information about the focus of the observation and the relevant objectives will be shared by the appraiser to enable this role to be performed effectively.
 - Where an eligible teacher or Headteacher is considered for performance pay progression, the relevant committee will be provided with access to the appraiser's appraisal report upon request.
 - Where an employee submits an appeal to the governing body under this policy, the relevant committee will be provided with access to the appraisal report.

C11 Monitoring and evaluation

- The governing body will monitor the operation and outcomes of appraisal arrangements including CPD.
- The Headteacher will provide the governing body with a written report on the operation of the school's appraisal and CPD policies annually. The report will not contain any information that would enable any individual to be identified.

C12 Quality Assurance

The Headteacher (or add any other appropriate colleague) will review all appraisees' objectives and written appraisal records personally, in order to check consistency of approach and expectation between different appraisers have been made.

C13 Specific Issues

C13.1 Teachers and support staff who join the school or change jobs within the school during the appraisal cycle

- For staff who start their employment at the school part-way through the school's appraisal cycle, the Headteacher (or governing body in the case of the Headteacher) will make appropriate arrangements for their performance to be managed during the remainder of the school year with a view to bringing their cycle into line with the cycle for other staff as soon as possible.
- For staff already employed at the school who transfer to a new post within the school part-way through a cycle, the Headteacher (or governing body in the case of the Headteacher) will determine whether to begin the appraisal cycle again and whether to change the reviewer, depending on the extent to which the appraisee's responsibilities and job description have changed.

C13.2 Part-time teachers and support staff

- Appraisal arrangements will apply on the same basis as full-time staff. The same degree of challenge in the process will apply but the breadth and volume of each element in the process will be proportionate to and reflect the period of time worked.
- Where a job share arrangement is in place, objectives, performance criteria and the evidence to be considered will focus on an individual member of staff's contribution.

C13.3 Teachers and support staff who are absent for a significant part of the cycle

- In assessing a appraisee's overall performance, the appraiser will take account of what it was reasonable for the appraisee to achieve during the time they were in school.
- The implications for the recommendation about performance pay progression for eligible appraisees is set out in the school's Pay Policy.

Annex 1 – Classroom Observation Protocol

General

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 courtesy;
- evaluate objectively;
- report accurately and fairly; and
- respect the confidentiality of the information gained, given the arrangements for confidentiality and record keeping set out elsewhere in this policy.

Specific Arrangements for Teachers

- ***(Whilst the Education (School Teachers' Appraisal) (England) Regulations 2012 remove the prescription on the time limit for classroom observations, the figure of 3 hours per cycle has been consulted on and agreed with the trade unions at the Local Authority level. If schools wish to have different arrangements then they will need to consult on this locally with the relevant trade unions.)***
- The total period for classroom observation arranged for any teacher, whether full- or part-time, for the purposes of appraisal will not exceed 3 hours per cycle having regard to the individual circumstances of the teacher. There is no requirement to use all of the time. The amount of observation planned and agreed for each teacher will reflect and be proportionate to the needs of the individual appraisee and reflect their individual circumstances. In this school proportionate to need will be determined by consideration of :
 - the assessment of the appraisee's overall performance at the end of the last appraisal cycle;
 - the nature of the objectives set for the next appraisal cycle; and
 - the appropriateness of classroom observation as a source of evidence for the performance criteria identified for those objectives.
- Where evidence emerges about the appraisee's teaching performance which gives rise to concern during the cycle additional classroom observations may be arranged.
- In keeping with the commitment to supportive and developmental classroom observation those being observed will be notified of the lesson to be observed in advance.
- Classroom observations will only be undertaken by persons with Qualified Teacher Status (QTS). This may be by the appraiser or others with appropriate professional expertise. 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.

- The evidence gathered may relate to the appraisee's teaching practice performance in general and will therefore inform the assessment of overall performance at the end of the appraisal cycle.
- Verbal feedback will be given as soon as possible after the observation and always no later than the end of the next school day. It will be given during directed time in a suitable, private environment.

Specific Arrangements for Special Needs Assistants

- No formal individual observations for the purpose of appraisal, however SNAs will be observed supporting Teaching and Learning during the classroom observation of the teacher.
- It is considered good practice to feedback on the SNA's role direct to the individual SNA as well as to the teacher.
- If there are any concerns arising from the SNA's performance during the classroom observation, the observer would discuss these with the individual SNA and give appropriate support.