



Mission Statement

'Aspire, Believe and Achieve Together'

So that all members of the School community can...

- Learn and worship in the name of God - Father, Son and Holy Spirit - revealed in the life, death and resurrection of Jesus Christ and value, respect and celebrate all faiths and cultures.
- Believe in themselves and become successful adults – developing their vision, faith, ambition and aspirations.
- Develop a resilience and inner strength to overcome life challenges.
- Embrace life-enriching experiences and make well-informed lifestyle choices that promote health and wellbeing.
- Develop thinking skills and transferable skills, working in partnership to become life-long learners.

Staff Performance Management & Teachers Appraisal Policy

APPLICATION OF THE POLICY

The policy applies to the Principal and to all staff employed by the school except teachers on contracts of less than one term, those undergoing induction (*ie NQTs*) and those who are the subject of capability procedures.

This policy links to and incorporates all aspects of the Teachers Appraisal Policy – Appendix 1

PURPOSE

This policy sets out the framework for a clear and consistent assessment of the overall performance of teachers, support staff and the Principal and for supporting their development needs within the context of the school's improvement plan and their own professional needs. Where staff are eligible for pay progression, the assessment of performance throughout the cycle against the performance criteria specified in the statement will be the basis on which the recommendation is made by the reviewer.

This policy should be read in conjunction with the school's pay policy which provides details of the arrangements relating to teacher's pay in accordance with the School Teachers' Pay and Conditions Document.

LINKS TO SCHOOL IMPROVEMENT, SCHOOL SELF EVALUATION AND SCHOOL DEVELOPMENT PLANNING

To comply with the requirement to show how the arrangements for performance management link with those for school improvement, school self-evaluation and school development planning and to minimise workload and bureaucracy, the performance management process will be the main source of information as appropriate for school self-evaluation and the wider school improvement process.

The school improvement plan and the school's self-evaluation form key documents for the performance management process.

All reviewers are expected to explore the alignment of reviewees' objectives with the school's priorities and plans. The objectives should also reflect reviewees' professional aspirations.

CONSISTENCY OF TREATMENT AND FAIRNESS

The Governing Body is committed to ensuring consistency of treatment and fairness in the operation of performance management.

To ensure this the following provisions are made in relation to moderation, quality assurance and objective setting.

QUALITY ASSURANCE

The Principal has determined that he will:

delegate the reviewer role for some or all staff for whom s/he is not the line manager. In these circumstances the Principal will:

moderate a sample of planning statements to check that the plans recorded in the statements of teachers at the school:

are consistent between those who have similar experience and similar levels of responsibility;

comply with the school's performance management policy, the regulations and the requirements of equality legislation

The Governing Body will:

Nominate up to three governors who will not be involved in the Principal's performance management or any appeal regarding the Principal's performance management to ensure that the Principal's planning statement is consistent with the school's improvement priorities and complies with the school's performance management policy and the Regulations.

The Governing Body will review the quality assurance processes when the performance policy is

reviewed.

OBJECTIVE SETTING

The objectives set will be rigorous, challenging, achievable, time-bound, fair and equitable in relation to staff with similar roles/responsibilities and experience, and will have regard to what can reasonably be expected of any staff in that position given the desirability of the reviewee being able to achieve a satisfactory balance between the time required to discharge his professional duties and the time required to pursue his personal interests outside work, consistent with the school's strategy for bringing downward pressure on working hours. They shall also take account of the staff professional aspirations and any relevant pay progression criteria. They should be such that, if they are achieved, they will contribute to improving the progress of pupils at the school.

The reviewer and reviewee will seek to agree the objectives but where a joint determination cannot be made the reviewer will make the determination.

At The King's School:

- *All staff, including the Principal, will have no more than three objectives*
- *All staff, including the Principal, will have two whole school objectives (Standards and Achievement)*
- *All staff, including the Principal, will have a team objective, as appropriate (Leadership and Management) linked to an area of the SIP.*

Though performance management is an assessment of overall performance of staff and the Principal, objectives cannot cover the full range of staff roles/responsibilities. Objectives will, therefore, focus on the priorities for an individual for the cycle. At the review stage it will be assumed that those aspects of staff responsibilities not covered by the objectives or any amendment to the statement which may have been necessary in accordance with the provisions of the regulations have been carried out satisfactorily.

REVIEWING PROGRESS

At the end of the cycle assessment of performance against an objective will be on the basis of the performance criteria set 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.

The performance management cycle is annual, but on occasions it may be appropriate to set objectives that will cover a period over more than one 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 cycle.

When a member of teaching staff is appointed from another school an agreement/report must be received, in writing, from the Principal in order to inform the appraisal process.

APPEALS

At specified points in the performance management process staff have a right of appeal against any of the entries in their planning and review statements. Where a reviewee wishes to appeal on the basis of more than one entry this would constitute one appeal hearing.

Details of the appeals process are covered in the school's pay policy.

CONFIDENTIALITY

The whole performance management process and the statements generated under it, in particular, will be treated with strict confidentiality at all times. Only the reviewee's line manager or, where s/he has more than one, each of her/his line managers will be provided with access to the reviewee's plan recorded in her/his statement, upon request, where this is necessary to enable the line manager to discharge her/his line management responsibilities. Reviewees will be told who has requested and has been granted access.

The process of gathering evidence for Performance Review will not compromise normal professional relationships between staff.

TRAINING AND SUPPORT

The school's CPD programme will be informed by the training and development needs identified in the training annex of the reviewees' planning and review statements.

The governing body will ensure in the budget planning that, as far as possible, appropriate resources are made available in the school budget for any training and support agreed for reviewees.

CPD PLANNING

An account of the training and development needs of staff in general, including the instances where it did not prove possible to provide any agreed CPD, will form a part of the Principal's annual report to the governing body about the operation of the performance management in the school.

With regard to the provision of CPD in the case of competing demands on the school budget, a decision on relative priority will be taken with regard to the extent to which: (a) the CPD identified is essential for a reviewee to meet their objectives; and (b) the extent to which the training and support will help the school to achieve its priorities. The school's priorities will have precedence. Teachers should not be held accountable for failing to make good progress towards meeting their performance criteria where the support recorded in the planning statement has not been provided.

APPOINTMENT OF REVIEWERS FOR THE PRINCIPAL

Appointment of Governors

The Governing Body is the reviewer for the Principal and to discharge this responsibility on its behalf may appoint 2 or 3 governors.

Where a Principal is of the opinion that any of the governors appointed by the governing body under this regulation is unsuitable for professional reasons, s/he may submit a written request to the governing body for that governor to be replaced, stating those reasons.

Appointment of School Improvement Partner or External Adviser

The Governing Body has appointed a School Improvement Partner, who will provide the advice and support in relation to the management and review of the performance of the Principal.

APPOINTMENT OF REVIEWERS FOR STAFF

In the case where the Principal is not the member of staff's line manager, the Principal may delegate the duties imposed upon the reviewer, in their entirety, to the teacher's and support staff's line manager.

The Principal has decided that:

The Principal will be the reviewer for those staff he directly line manages and will delegate the role of reviewer, in its entirety, to the relevant line managers for some or all other staff.

Line managers will be the reviewers for all those staff they line manage where practicable.

Where a member of staff has more than one line manager the Principal will determine which line manager will be best placed to manage and review the staff performance.

Where a member of staff is of the opinion that the person to whom the Principal has delegated the reviewer's duties is unsuitable for professional reasons, s/he may submit a written request to the Principal for that reviewer to be replaced, stating those reasons.

Where it becomes apparent that the reviewer will be absent for the majority of the cycle or is unsuitable for professional reasons, the Principal may perform the duties himself/herself or delegate them in their entirety to another member of staff. Where this member of staff is not the reviewee's line manager they will have an equivalent or higher status in the staffing structure as the line manager.

A performance management cycle will not begin again in the event of the reviewer being changed.

All line managers to whom the Principal has delegated the role of reviewer will receive appropriate preparation for that role.

THE PERFORMANCE MANAGEMENT CYCLE

The performance of staff must be reviewed on an annual basis. Performance planning and reviews must be completed by 31 October and for the Principal by 31 December.

The performance management cycle in this school, therefore, will run from 1 November to 31 October for members of staff and from 1 January to 31 December for the Principal.

Staff who are employed on a fixed term contract of less than one year, will have their performance managed in accordance with the principles underpinning the provisions of this policy. The length of the cycle will be determined by the duration of their contract.

When staff start their employment at the school part-way through a cycle, the Principal or, in the case where the teacher is the Principal, the governing body shall determine the length of the first cycle, with a view to bringing his cycle into line with the cycle for other teachers at the school as soon as possible.

Where a teacher transfers to a new post within the school part-way through a cycle, the Principal or, in

the case where the teacher is the Principal, the governing body shall determine whether the cycle shall begin again and whether to change the reviewer.

Changes to the statement should not be triggered simply because there has been a change of Principal, line manager or reviewer, though changes to statements may arise as a result of such personnel changes.

RETENTION OF STATEMENTS

Performance management planning and review statements will be retained for a minimum period of 6 years.

MONITORING AND EVALUATION

The governing body will monitor the operation and outcomes of performance management arrangements.

The Principal will provide the governing body with a written report on the operation of the school's performance management policy annually. The report will not contain any information which would enable any individual to be identified. The report will include:

- the operation of the performance management policy;
- the effectiveness of the school's performance management procedures;
- staff training and development needs.

The Governing Body is committed to ensuring that the performance management process is fair and non-discriminatory and the following monitoring data should be included in the Principal's report because they represent the possible grounds for unlawful discrimination:

- Race
- Sex
- Sexual orientation
- Disability
- Religion and belief
- Age
- Part-time contracts
- Trade union membership.

The Principal will also report on whether there have been any appeals or representations on an individual or collective basis on the grounds of alleged discrimination under any of the categories above.

REVIEW OF THE POLICY

The Governing Body will review the performance management policy every school year at its first meeting in the academic year.

The Governing Body will take account of the Principal's report in its review of the performance management policy. The policy will be revised as required to introduce any changes in regulation and statutory guidance to ensure that it is always up to date.

The Governing Body will seek to agree any revisions to the policy with the recognised trade unions having regard to the results of the consultation with all teachers.

To ensure teachers are fully conversant with the performance management arrangements, all new staff who join the school will be briefed on them as part of their introduction to the school.

ACCESS TO DOCUMENTATION

Copies of the school improvement and development plan and SEF are published on the school's intranet, a paper copy sited in the Governors meeting room and/or can be obtained from the school office.

CLASSROOM OBSERVATION PROTOCOL

All classroom observation will be undertaken in accordance with the performance management regulations, the associated guidance published by the Rewards and Incentives Group and the classroom observation protocol. It is accepted that other evidence may be more useful in accessing for development and may be discussed as part of the performance management process. This evidence, for example may include work scrutiny, student voice etc.

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.

The total period for classroom observation arranged for any teacher will not exceed three hours per cycle having regard to the individual circumstances of the teacher. There is no requirement to use all of the three hours. The amount of observation for each teacher should reflect and be proportionate to the needs of the individual.

In this school 'proportionate to need' will be determined by:

- a) The annual cycle of departmental reviews and
- b) Individual observations as may be directed by the Principal

The arrangements for classroom observation will be included in the plan in the planning and review statement and will include the amount of observation, specify its primary purpose, any particular aspects of the teacher's performance which will be assessed, the duration of the observation, when during the performance management cycle the observation will take place and who will conduct the observation.

Where evidence emerges about the reviewee'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 in accordance with the Regulations.

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.

In keeping with the commitment to supportive and developmental classroom observation those being observed will be notified in advance.

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. It will be given during directed time in a suitable, private environment.

Written feedback will be provided within five working days of the observation taking place. If issues 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.

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. No written notes in addition to the written feedback will be kept.

The Principal 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.

Performance management arrangements are integral to fulfilling this duty the Principal may consider the classroom observations they have agreed for performance management are sufficient and that drop in will not be needed.

In this school 'drop ins' will be undertaken by the Principal supported by appropriate member/s of the leadership team. Drop ins will only inform the performance management process where evidence arises which merits the revision of the performance management planning statement, in accordance with the provisions of the regulations.

Teachers Appraisal Policy

Review October 2017

Teacher Appraisal Policy

The Governing Body of The King's C of E School adopted this policy on 02 October 2017

1. Purpose

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

1.2 The appraisal procedure must complement the School's performance management procedure and should be used to ensure that there are no surprises over the following year.

1.3 In line with statutory provisions, the outcome of the appraisal review process will provide the Principal/nominated officer with an individual's performance information. The Principal/nominated officer will need to make a pay recommendation to the Governing Body/Pay Committee annually for every member of staff employed on teachers' terms and conditions, except where an individual has reached the top of their respective pay range.

2. Scope

2.1 This policy applies to all staff employed on School Teachers Terms and Conditions, including the Principal, for one term or more, other than those who are undergoing an induction period or who are subject to capability procedures.

2.2 All staff employed on School Teachers Terms and Conditions will be further referenced in this policy as 'teachers' including the Principal.

2.3 Appraisal in this School/Academy 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, whilst also providing the mechanism for pay progression.

2.4 The Governing Body recognises the requirement to comply with legislative requirements and aims to follow good practice wherever possible. The Governing Body will comply with current education legislation, including the School Staffing (England) Regulations and the School Teachers Pay and Conditions Document. All teachers have a contractual professional responsibility to engage in effective, sustained and relevant professional development throughout their careers and have

a contractual entitlement to effective, sustained and relevant professional development throughout their careers.

2.5 Throughout the application of this procedure the School will operate within the legal framework of relevant employment legislation that affects all employees, including;

- Equality Act 2010;
- Data Protection Act 1998;
- Employment Rights Act 1996;
- The current School Teachers Pay and Conditions Document;
- Equal Pay Act 1970;
- Any other relevant employment legislation

3. Equal Opportunities Policy

3.1 The School and Local Authority recognise that the Equality Act 2010 covers the protected characteristics of age, disability, gender reassignment, marriage and civil partnership, pregnancy and maternity, race, religion and belief, sex and sexual orientation.

3.2 Under the Equality Act 2010 it is unlawful to discriminate against a disabled person for reasons related to their disability. Disability covers both physical and mental impairments that have a substantial and long term effect (i.e. has lasted or is expected to last for at least 12 months) on the person's ability to carry out normal day to day activities.

3.3 Progressive conditions, such as HIV, cancer and multiple sclerosis, are considered a disability immediately from the point of diagnosis and do not need to last for a year. However addictions to non-prescribed substances are specifically excluded.

3.4 Where an employee meets the definition of a disabled person under the Equality Act employers are required to make reasonable adjustments to any elements of the job which place a disabled person at a substantial disadvantage compared to non-disabled people. Employers are only required to make adjustments that are reasonable. Factors such as the cost and practicability of making an adjustment and the resources available to the employer may be relevant in deciding what is reasonable.

4. Introduction

4.1 *The Education (School Teachers' Appraisal) (England) Regulations 2012*, made under the Education Act 2002, provides a legal obligation on qualifying schools to have an appraisals procedure in place for all teachers. These statutory regulations apply to any teacher employed for one school term or more, in a community, voluntary, foundation, community special or foundation special school or a maintained nursery school, whether

employed by the governing body of that school or by the local authority to work in that school. The regulations do not apply to a teacher undergoing an induction period or whilst a teacher is the subject of a formal capability procedure.

4.2 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 :
02 October 2017 to 01 October 2018

5.2 The cycle will begin with a planning meeting and will end with a review meeting. In-year review meetings as part of continual performance management may also be held if agreed and considered necessary (see Appendix A for a Planning and Appraisal Model Form).

5.3 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.

5.4 Where a teacher transfers to a new post within the School/Academy part-way through a cycle, the Principal or, in the case where the employee is the Principal, the Governing Body, shall determine whether the cycle shall begin again and whether to change the appraiser.

5.5 Where a teacher is employed in more than one post, the teacher will be appraised for each post.

5.6 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.

5.7 Schools should also ensure that all teachers are treated fairly, and should take particular care in respect of those teachers who have different working patterns or those with particular protected characteristics under equality legislation.

6. Appointing the Appraisers

6.1 The Principal 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 Principal, including the setting of objectives, will be delegated to a sub-group consisting of three members of the Governing Body.

6.3 Where a Principal is of the opinion that any of the governors appointed by the governing body is unsuitable to act as their appraiser, they may submit a written request for that governor to be replaced, stating the reasons for the request. The Governing Body's decision will be final.

6.4 It is for the governing bodies to decide how far they delegate decisions to the Principal. The Principal may delegate the role of appraising teachers within their schools to other individuals providing that they have Qualified Teachers Status, but **remain accountable** for the appraisal process under the Regulations. All appraisers should have appropriate knowledge and skills before they appraise other staff.

6.5 If the responsibility for appraisal is delegated by the Principal in doing so they devolve the pay **recommendation** to the nominated appraiser and would subsequently passport this recommendation to the Governing Body. It is therefore the Principals responsibility to ensure quality control through clearly defining their expectations notwithstanding the context of the school setting and the individual's objectives. If the Principal cannot demonstrate that they have properly quality controlled the process they should not interfere with the passport of the recommendation of pay.

6.6 To ensure an appropriate **work life balance** a nominated appraiser should not be given more than 4 appraisees whenever possible.

6.7 Where it becomes apparent that the appraiser appointed by the Principal will be absent for the majority of the appraisal cycle, the Principal may undertake those duties directly or delegate those duties to another teacher for the duration of that absence.

6.8 If the Principal appoints an appraiser who is not the teacher's line manager, the appraiser to whom they delegate those duties will have an appropriate position in the staffing structure, together with the necessary background knowledge, skills and training to undertake the role.

6.9 Teaching staff should be able to object to the appointment of an appraiser, on professional grounds, in writing to the head teacher, who will consider the objection and make a decision. Where the objections are rejected by the head teacher, the teacher should be advised in writing. See Appendix B for further guidance on the effective preparation and support of the appraiser.

7. Setting Objectives

7.1 The setting and agreement of objectives is fundamentally important to the effective operation of the appraisal process. It is important for both parties to plan and prepare prior to going into any appraisal meeting.

7.2 Objectives for each teacher will be set before or as soon as practicable after, the start of each appraisal period. The Principal's objectives will be set by the Governing Body after consultation with the external adviser. The Principal will be informed of the objectives against which their performance will be assessed. The objectives set for each teacher, should be appropriate to their career stage and aspirational to support and encourage professional development through the relevant pay range.

7.3 The objectives set for each teacher are intended to contribute to the School/Academy plans for improving the School/Academy educational provision and performance and improving the education and life chances of pupils at that School/Academy and will take into account the professional aspirations of the teacher. See Appendix C for further guidance.

8. Standards of Assessment

8.1 Before, or as soon as practicable after, the start of each appraisal period, each Head teacher and teacher will be informed of the standards against which their 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 *"Teachers' Standards" published in July 2011*. Teachers' Standards (July 2011) provide the context in which, through professional discussions, objectives are set, CPD needs identified, success criteria defined and the nature and extent of any required observations planned. The Teachers' Standards should not be used as a checklist. The Principal 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.

8.2 For teachers who are qualified teachers by virtue of holding QTLS status, it is for the governing body or Principal 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.

8.3 The teachers' standards effectively set out a 'code' of good teaching practice and professional conduct and as such, it would seem to be perfectly reasonable for schools to expect all teaching staff to meet the expectations set out in the standards document to a level that is consistent with what should reasonably be expected of a teacher in the relevant role and at the relevant stage of their career. Principal

and other appraisers should use their professional judgement when appraising teachers' performance. It is not necessary for schools to adopt rigid models that seek to set out exactly what the relevant standards mean for teachers at different stages in their careers and teachers should not be expected routinely to provide evidence that they meet all the standards.

8.4 Teachers' standards must also be applied to all teachers. However in respect of the Principal governors should have regard to the guidance document 'Professional standards for Principal and support from the external adviser will be important in this respect.

8.5 Use of the standards in academies and free schools will depend on the arrangements of those schools. Independent schools are not required to use the standards but may do so if they wish.

9. Reviewing Performance

9.1 As part of the overall appraisal process, it will be critically important for all members of staff who are subject to the school's staff appraisal policy to be clear about the evidence that will be required by their appraiser to enable the appraiser to assess their performance and make a substantiated and evidence-based pay recommendation to the 'decision maker'.

9.2 Both the teacher and their appraiser are responsible for considering and reviewing evidence for the assessment. The school should manage the appraisal process so that there are no surprises at the end of the year – throughout the appraisal cycle both the teacher and appraiser should understand what objectives are in place, the evidence that will be used and the criteria to assess performance, and progress towards meeting these. **It would not be appropriate for schools to introduce evidence requirements that are not directly and explicitly related to the formal appraisal process and with the objectives and standards that have been agreed with the teacher.** Schools should consider carefully the inappropriate use of evidence, and the need for targets and objectives that enable teachers to demonstrate *performance*, rather than simply results.

9.3 Judgements relating to performance should be supported by evidence, agreed at the beginning of the performance cycle. Evidence should show and demonstrate a contribution towards:

- a positive impact on pupil progress;
- a positive impact on wider outcomes for pupils;
- improvement in specific elements of practice, eg lesson planning; and
- a positive contribution to the work of the school.

9.3 The evidence gathered by the school and the member of staff will largely be determined by the nature and scope of the agreed objectives and/or the teachers' standards. Examples of evidence may include (this list is not exhaustive):

- Classroom observations
- Task observations
- Reviews of assessment results
- Reviews of lesson planning records
- Internal tracking
- Moderation within and across schools
- Contextual context of the wider performance management of the school
- Evidence supporting progress against teachers' standards

9.4 Any classroom or task observations will be carried out in accordance with Appendix D.

9.5 For appraisal purposes, the governing body is committed to ensuring that classroom and task 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

9.6 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 manner and in the context of the Education (School Teacher's Appraisal) (England) Regulations 2012. Protocols at Appendix D.

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

9.8 The role of line managers/appraisers is central to ensuring that the appraisal and pay recommendation process is carried out effectively and efficiently. Appraisers must take account of the principle that evidence for appraisals must be proportionate and clearly rooted within the appraisal process and that the appraisal cycle does not add unnecessarily to teachers' workloads.

10. Development and Support

10.1 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.

10.2 The School's/Academy's CPD programme will be informed by the training and development needs identified as part of the appraisal process. The Governing Body will ensure in the budget planning that, as far as possible, resources are made available in the school budget for appropriate training, and support agreed for appraisees, maintaining access on an equitable basis.

10.3 Support to meet individual or collective development needs should be provided within the context of the school's improvement plan. A Training and Development Model Form can be found at Appendix E.

11. Feedback

11.1 It is strongly encouraged for teachers to receive constructive feedback **face to face** 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 about the nature and seriousness of the concerns;
- give the teacher 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.

11.2 An important part of feedback will be to explain the evidence which was taken into account to support this decision, and how any development issues can be addressed.

11.3 Schools should provide feedback where necessary during the course of the year on the areas where the teacher might need to improve in order to secure a positive assessment at the end of the appraisal period. If any additional support and training to improve performance is deemed necessary before the end of the appraisal cycle, the teacher and their line manager should consider how these should be delivered.

11.4 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.

12. Pay Progression

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

12.2 All pay recommendations should be clearly attributable to the performance of an employee.

12.3 The relevant body must decide how pay progression will be determined, subject to the following:

- a. The decision, whether or not to award pay progression, must be related to a teacher's performance
- b. A pay recommendation must be made in writing by the appraiser as part of a teacher's annual appraisal report
- c. Where a teacher is not subject to either the 2012 or the 2011 regulations, the relevant body must determine through what process the teacher's performance will be assessed and a pay recommendation made for the purposes of making its decision on pay
- d. 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
- e. A decision may be made not to award pay progression supported by evidence

12.4 The relevant body must set out clearly in the school's pay policy how pay progression will be determined. The Principal will be responsible for ensuring that appropriate arrangements are put in place to support the links between performance and pay and that agreed rates of pay progression and comply with prevailing legislation (eg equal pay).

12.5 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.

12.6 To progress through the pay ranges in accordance with the School/Academy Pay Policy, teachers will need to have made good progress towards achieving their objectives and have demonstrated that they are competent in all elements of the Teachers' Standards..

12.7 If the overall appraisal evidence shows that a teacher has demonstrated exceptional performance, the governing body may consider awarding enhanced pay progression in accordance with their adopted Pay Policy.

12.8 The Principal will be committed to the establishment of appraisal and pay policies and will ensure that appraisers have the knowledge and skills to apply procedures fairly.

12.9 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. Annual Assessment

13.1 Before an appraisal is recorded a dialogue will be held which will form the basis of the written report.

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

13.3 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 (*eg once a term*).

13.4 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 Principal). 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 Headteachers and by 31 October for other teachers*);

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

14. Staff Experiencing Difficulties

14.1 When a member of staff is experiencing difficulties, support and guidance will be provided through the appraisal process. Where it is understood that a member of staff's personal circumstances may be leading to difficulties at work, appropriate support should be offered at the earliest opportunity.

14.2 If the appraiser identifies through the appraisal process or through other sources of information that the difficulties experienced by a teacher are such that, if not rectified could lead to the capability procedure, the appraiser will, as part of the appraisal process, meet the member of staff to:

- give clear written feedback to the teacher about the nature and seriousness of the concerns;
- give the teacher the opportunity to comment on and discuss the concerns;
- give the teacher at least five working days' notice that a meeting will be held to discuss targets for improvement alongside a programme of support and remind the teacher that they have the right to be accompanied by a work colleague or trade union representative at any future meetings where capability will be discussed;
- agree and establish, in consultation with the teacher, an action plan with support that will help to remedy specific concerns;
- make clear, how progress will be monitored and when it will be reviewed; and
- explain the implications and process if no, or insufficient, improvement is made.

14.3 If following appropriate support the appraiser is still not satisfied with progress, the teacher will be notified in writing by their appraiser that they will be recommending to the Principal that the appraisal policy should no longer apply and that their performance should be managed under the capability policy.

14.4 For more information refer to the School's/Academy's Capability Policy.

15. Monitoring and Evaluation

15.1 The governing body and Principal will monitor the operation and effectiveness of the school's appraisal arrangements at the beginning of the academic year.

16. Retention

16.1 The governing body and Principal will ensure that all written appraisal records are retained in a secure place for six years and then destroyed.

17. Confidentiality

The appraisal processes will be treated with confidentiality. However, the desire for confidentiality does not override the need for the Governing Board to quality-assure the operation and effectiveness of the appraisal system. This can will be achieved by the Principal (or appropriate colleague) reviewing all teachers' objectives and written appraisal records personally, in order to check consistency of approach and expectation between different appraisers.

18. Consistency of Treatment and Fairness

18.1 All public authorities, including schools must comply with the Public Sector Equality Duty (PSED) introduced by the Equality Act 2010. To discharge the duty schools must have due regard to the need to:

- (i) eliminate discrimination, harassment, victimisation and any other conduct that is prohibited by or under the Act,
- (ii) advance equality of opportunity between people who share a relevant protected characteristic and people who do not share it,
- (iii) foster good relations between people who share a relevant protected characteristic and people who do not share it.

18.2 Where a teacher is away from school because of maternity leave, it is unlawful for the school to deny that teacher an appraisal because of her maternity. Schools need to take a practical and flexible approach to conducting appraisals for those absent on maternity leave, including where a teacher has been absent for part or all of the reporting year.

18.3. In those circumstances, schools should ensure that the absent teacher receives fair treatment while ensuring the integrity and robustness of the school's appraisal process for all teachers. When considering these options, schools should seek to ensure that they minimise bureaucracy for all involved. Schools should consider conducting appraisals prior to individuals departing on maternity leave, even if this is early in the appraisal year, and basing any appraisal and pay determination on the evidence of performance to date in that appraisal year. Account could also be taken of performance in previous appraisal periods if there is very little to go on in the current year. However, schools should not require teachers to use Keeping in Touch (KIT) days for the purposes of appraisal.

18.3 The governing body is committed to ensuring consistency of treatment and fairness. It will abide by all relevant equality legislation, including the duty to make reasonable adjustments for disabled teachers. The governing body is aware of the guidance on the Equality Act issued by the Department for Education.

19. Appeals

19.1 At any point in the appraisal process teachers and Headteachers have a right of appeal in respect of application of the policy or any entry in their planning and review statements within the appraisal report.

19.2 Where an employee wishes to appeal they must submit the grounds for their appeal in writing to the Chair of Governors clearly stating the grounds for appeal i.e. the basis on which they believe the in respect of application of the policy or any entry in their planning and review statements to be wrong or unjust.

19.3 If the nature of the appeal is unclear or insufficient information is provided, clarification will be sought before any Appeal Hearing takes place.

19.4 An Appeal Committee shall normally hear the matter not more than 5 weeks after receipt of an appeal letter. The decision of the Appeal Panel which will consist of members of the Governing Body is final and there will be no further right to appeal.

19.5 Appeals will be heard in accordance with Appendix A.

20. Ofsted

20.1 As part of their overall inspection framework, Ofsted wishes to see evidence in schools that the appraisal procedure is used effectively and appropriately to enable school improvement; if appraisal evidence is not available, this is likely to impact negatively on the Ofsted inspection grade for leadership and management.

20.2 It is therefore prudent for head teacher and governors to generate and retain evidence that the school's appraisal system and policy operate together and provide the rationale that underpins both training, support and development for staff and pay progression, as appropriate.

20.3 Ofsted inspectors may ask to have sight of anonymised data from the last three years that illustrates the numbers of teaching staff who have:

- progressed along the main pay range;
- progressed to and through the upper pay range;
- progressed along the leadership scale; and

20.4 Inspectors will expect to see a correlation between the pattern of pay progression and the improvements made to the overall quality of teaching and learning; where there is no or little correlation, the inspectors will want to investigate the reasons for this. However, inspectors will take account of the length of time the Principal has been in post.

[National College for Teaching and Leadership - Effective Teacher Appraisal Part 2](#)

Planning and Appraisal Model Form

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Appraisee Name:			
Appraiser Name:			
Key dates	Initial planning	Mid-year review	End of year review

1. Where am I now?

Assessment of performance for the Planning and Appraisal cycle just ended:

Teachers' Standards:

Objectives

1.

2.

3.

Completion of professional development:

2. Performance related pay progression

Is the appraisee eligible for pay progression as part of this process? YES/NO

Is pay progression recommended? YES/NO

If 'No' or if accelerated progression is recommended, please attach a separate sheet outlining reasons.

3. Planning your performance management criteria for the next cycle

a. Teachers' Standards

It is expected that all teachers will work in line with and meet the Teachers' Standards and that performance will be reviewed at the end of the year.

b. Objectives

Use this space to document the objectives, including performance criteria/measures and when it will be completed by.

	Objectives and success criteria	By when?
1.		
2.		
3.		

c. Completion of Professional Development

	Development needs identified to successfully achieve these objectives	By when?
	Other continuing professional development	By when?

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4. Additional Support

Use this space to document any agreed support to help successfully achieve these objectives.

5. Classroom Observation

Use this space to document plans for classroom observation.

Effective Preparation and Support of the Appraiser

Key Points

The effective preparation and support of the appraiser is central to realising the benefits of the appraisal process, as they are responsible for making sure that key elements of the process are undertaken fairly and consistently. It is essential therefore that schools/academies provide appropriate training for all appraiser's that is consistent with the appraisal policy. Such training will enable the appraiser in setting objectives, agreeing performance criteria and using them to assess progress, in determining the appraiser's support, training and development needs and how these will be met and, where an appraisee is eligible, making a pay recommendation.

Schools/Academies, therefore, will need to make sure that appraisers have the specific knowledge, skills and understanding they need to carry out their responsibilities. They will also need to consider the overall burden on each appraiser in terms of the number of appraisees for whom they are responsible, and how many appraisals an individual appraiser can undertake effectively.

Considerations

Schools/Academies will need to make sure, for example, that all those acting as an appraiser:

- understand the Schools/Academies policies and procedures, and how the appraisal process fits into the wider context of teacher's professional development;
- have copies of all relevant documents;
- Understand the impact and implications of equal opportunities on the appraisal process;
- are confident in evaluating evidence, including through classroom observations;
- have access to any statistical data that both appraiser and appraisee consider important;
- are able to provide constructive feedback and engage in positive dialogue with the appraisee
- are aware of the resources available to support teachers' development both within and beyond the school/academy;

There are opportunities for appraisers, during directed time, to share knowledge, learn from each other and align practice. It is recommended that arrangements are put in place to make use of the expertise of current appraisers to prepare and support taking in this role.

If additional support is required in preparing appraisers for their role, HR advice should be sought.

Objectives

It is important to ensure that objectives set are defined and structured with clear success criteria. Objectives and associated success criteria should not be vague as these could be misinterpreted. Objectives will be SMART:

S = Specific

"What is to be done?" "how will you know it is done?" and describes the results (end product) of the work to be done. The description is written in such a way that anyone reading the objective will most likely interpret it the same way. To ensure that an objective is specific is to make sure that the way it is described is observable. Observable means that somebody can see or hear (physically observe) someone doing something.

M = Measurable

"How will you know it meets expectations?" and defines the objective using assessable terms (quantity, quality, frequency, costs, deadlines, etc.). It refers to the extent to which something can be evaluated against some standard, however, it is not deemed appropriate for objectives to be purely data driven.

A = Achievable

"Can the person do it?" "Can the measurable objective be achieved by the person?" "Does he/she have the experience, knowledge or capability of fulfilling the expectation?" It also answers the question "Can it be done giving the time frame, opportunity and resources?".

R = Realistic

"Should it be done?", "why?" and "what will be the impact?" Is the objective aligned with the School/Academy strategic plan?

T = Time-bound

"When will it be done?" It refers to the fact that an objective has end points and check points built into it.

In setting the objectives, appraisers will have regard to what can reasonably be expected in the context of roles, responsibilities, hours of work and experience, consistent with the School's/Academy's strategy for achieving a work/life balance for all staff.

Setting more than three objectives, or, for example, using sub-targets, can lead to teachers' experiencing unreasonable workload and pressure, making the objectives more difficult to achieve. Therefore, other than in exceptional circumstances and only by agreement, no teacher will be given more than three objectives.

The agreed objectives will contain a description of what success may look like, what types of evidence could demonstrate success and identify the continuous professional development available to aid success. Final agreed objectives will be recorded.

Objectives may be revised if circumstances change, which should be done through a recorded formal revision meeting. Should the objectives not be agreed, the final decision on determining the objectives rests with the Principal.

It is important that the appraiser and the appraisee are both clear on the career aspiration of the appraisee, as the appraisal evidence will inform any decisions on pay progression for the appraisee, including progression to the upper pay range and post threshold standards.

The appraiser will take into account the effects of an individual's circumstances, including any disability, 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 a teacher is absent due to long term sickness or maternity / additional paternity / adoption leave / parental leave, this will be taken into account when setting objectives to ensure they are reasonable and proportionate to the timescale. When a teacher returns from a period of long term absence, a revision meeting should take place and objectives may be reviewed to allow them to readjust to their working environment.

Objectives should be fair and equitable when judged across employees with similar roles and responsibilities. However, appraisal objectives will normally become more challenging as a teacher progresses up the relevant pay scales (eg UPR or Leading Practitioner scales) main pay scale.

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 courtesy;
- evaluate objectively;
- report accurately and fairly; and
- respect the confidentiality of the information gained.

The total period for classroom observation arranged for any teacher, for appraisal purposes, will not exceed three hours per cycle having regard to the individual circumstances of the teacher. There is no requirement to use all of the three hours. The amount of observation for each teacher should reflect and be proportionate to the needs of the individual.

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

The arrangements for classroom observation will be included in the planning and review statement and will detail the amount of observation, specify its primary purpose, any particular aspects of the teacher's performance which will be assessed, the duration of the observation, when during the appraisal cycle the observation will take place and who will conduct the observation. Prior to the appraisal observation the context of the observation will be confirmed between the appraiser and appraisee.

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.

Information gathered during the observation will be used, as appropriate, for a variety of purposes including informing 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.

In keeping with the commitment to supportive and developmental classroom observation those being observed will be notified in advance. All teachers should be given at least 5 working days' notice of the appraisal observation.

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. It will be given during directed time in a suitable, private environment.

Written feedback will be provided within five working days of the observation taking place. If issues 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.

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. No written notes in addition to the written feedback will be kept.

Training and Development Model Form

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A copy of the training and development appendix should be sent to the CPD Co-ordinator

Appraisee's name:

Appraiser's name:

Training and Development needs

Action to be taken

Appraisee signature: _____ Date: _____

Appraiser signature: _____ Date: _____

Appraisee comments:

Appraisee signature: _____ Date: _____

Procedure to be followed at an Appeals Hearing

1. Introductions and housekeeping
2. Chair to explain the purpose of the Hearing, the format for the Hearing and the potential outcomes.
3. Any person present may request an adjournment.
4. The employee will be invited to present the grounds for their appeal, and may be accompanied by a work colleague or trade union representative. Witnesses may be called where they provide evidence which supports the case.
5. The manager, who determined the outcome of the appraisal process, may ask questions of the employee and any witnesses they may call.
6. The Panel, may ask questions of the employee and any witnesses they may call.
7. The manager who determined the outcome of the appraisal process, will be invited to present their decision/s and the reason/s for them.
8. The employee and their representative may ask questions of the manager.
9. The Panel, may ask questions of the manager.
10. The manager will be invited to make a concluding statement.
11. The employee and their representative will be invited to make a concluding statement.
12. The Hearing will adjourn and all parties will withdraw with the exception of the Panel, and their HR Adviser.
13. Where it is possible for a decision to be made within a reasonable timescale, the Hearing will be reconvened and the decision communicated to the employee.
14. The decision will be confirmed in writing within five working days of the Hearing taking place, or where a longer period of time is required to make a decision, the Hearing will close and the outcome will be communicated to the employee within five working days of the decision being made. The decision of the Appeal Committee will be final.

Adopted by Full Governing Body: 02.10.17	To be reviewed: Autumn 2018
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