
Appraisal Policy and Procedures

Autumn 2017

Summary

This policy outlines the appraisal policy and procedures for Fieldhead Carr Primary School.

Recommendation

Governors are requested to pay particular attention to the areas that are **in red**. These are the sections that are outside of the model policy and relate only to Fieldhead Carr Primary School.

Author's Role	Headteacher
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APPRAISAL POLICY & PROCEDURE (TEACHERS)

1. INTRODUCTION

- 1.1. Performance appraisal is an opportunity for individual employees and those that have responsibility for their performance, typically line managers, to engage in a constructive dialogue about an individual's performance across the reporting period, their potential and their development needs, in addition to the support required from the manager. Furthermore, in the case of teachers, there is also a requirement to assess practice against the Teacher's Standards. Emerging from this dialogue objectives will be agreed.
- 1.2. While performance appraisal is an important part of performance management, in itself it is not performance management. However, it is one of a range of tools that can be used to manage performance, but this should be done in a supportive manner.

2. PURPOSE

- 2.1. The purpose of this appraisal policy is to provide a framework to assess employees (teachers) against defined objectives, to give constructive feedback and to acknowledge employees for their good work. The policy will also enable medium and long term objectives to be defined for employees and, where teachers are eligible, will inform a recommendation for pay progression.
- 2.2. The policy also offers the opportunity to address any performance issues to be addressed at an early stage, constructively discuss areas in need of improvement, find solutions / appropriate support and better ways to carry out tasks or improve practice.

3. SCOPE

- 3.1. This policy applies to the head teacher and to all qualified teachers employed at the school except those on contracts of less than one term and those undergoing induction (i.e., NQTs) or teachers on capability procedures.
- 3.2. This policy is designed to comply with the Education (School Teachers' Appraisal) (England) Regulations 2012 and also reflects, where applicable, provisions outlined in the School Teachers' Pay & Conditions Document.

4. POLICY STATEMENT

- 4.1. **Fieldhead Carr Primary School is committed to give teachers employed at the school and their line managers an annual opportunity** to review performance, to agree personal objectives, and to agree learning and development requirements.
- 4.2. The appraisal system aims to:
 - Be a positive process
 - Raise the quality of teaching, learning and leadership provided by the school through highly motivated and competent teachers and leaders
 - Support the School in improving the education of pupils at the school and the implementation of any plan of the governing body designed to improve that school's educational provision and performance
 - Translate and create links from high level strategy into each individual's role
 - Provide a link to pay progression

- Identify and support any relevant development needs.

5. PROCEDURES

5.1. THE APPRAISAL PERIOD

The appraisal period will run **for 12 months**, normally from September to July.

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.

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

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

5.2. APPOINTING APPRAISERS

All appraisers of teachers, other than those appraising head teachers, will be qualified teachers and will be suitably trained.

Head Teacher

The head teacher 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.

The task of appraising the head teacher, including the setting of objectives, will be delegated to a sub-group consisting of normally three members of the Governing Body.

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

Teachers

The choice of appraiser is for the head teacher. Where teachers have an objection to the head teacher's choice, their concerns will be considered.

Where it becomes apparent that the appraiser appointed by the head teacher will be absent for the majority of the appraisal cycle, the head teacher may perform those duties herself/himself or delegate those duties to another teacher for the duration of that absence.

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

Where a teacher is experiencing difficulties and the head teacher is not the appraiser, the head teacher may undertake the role of appraiser. See also section on Teachers Experiencing Difficulties.

5.3. SETTING OBJECTIVES

The head teacher's objectives will be set by the appraisal sub-group of the Governing Body after consultation with the external adviser and the head teacher.

Objectives will be set before, or as soon as practicable after, the start of each appraisal period. The objectives and the support required to achieve the objectives will be recorded in the planning statement. The objectives set will be Specific, Measurable, Achievable, Realistic and Time-bound and will be appropriate to the appraisee's role and level of experience. In setting the objectives, reviewers will have regard to what can reasonably be expected in the context of roles, responsibilities and experience, consistent with the school's strategy for achieving a work/life balance for all staff. Appraisees may at any point append their comments alongside their objectives.

The appraiser and appraisee will seek to agree the objectives. Objectives may be revised if circumstances change. The school operates a system of moderation to ensure that all appraisers are working to the same standards. Targets will be moderated across the school to ensure that they are consistent between teachers with similar experience and levels of responsibility. Should the objectives not be agreed, the final decision on allocation of objectives rests with the head teacher.

The agreed objectives will contain a description of what success may look like. A clear link should be made between performance expectations and potential pay progression. Where use of numerical targets is appropriate, these will be reasonable, in the circumstances in which the teacher works and it will be recognised that factors outside teachers' control may significantly affect success.

Setting more than three objectives, or using sub-targets, may lead to difficulties in achieving objectives set. Therefore, other than in exceptional circumstances or by agreement, no teacher will be given more than three objectives.

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 staff return from a period of extended absence, objectives may be adjusted to allow them to readjust to their working environment.

The objectives set for each teacher are intended to contribute to the school's plans for improving the school's educational provision and performance and improving the education of pupils at that school and will take into account the professional aspirations of the teacher.

Before, or as soon as practicable after, the start of each appraisal period, each teacher will be informed of the standards against which that teacher's performance in that appraisal period will be assessed e.g. the Teachers' Standards. The head teacher or Governing Body (as appropriate) will need to consider whether certain teachers should be assessed against other sets of standards published by the Secretary of State or other body that are relevant to them. For QTLS holders, that may include the overarching professional standards for teachers in the lifelong learning sector, held by the Learning and Skills Improvement Service.

5.4. PAY PROGRESSION

All pay progression is linked to performance. The pay recommendation made by the appraiser will be based on the assessment of their performance against the agreed objectives and the relevant standards. The decision made by the relevant decision-making body will also be based on the statutory criteria and guidance set out in the *School Teachers' Pay and Conditions Document (STPCD)*.

The Governing Body has agreed the pay policy of the school and has considered the implications of the appraisal policy with respect to the arrangements relating to teachers' pay in accordance with the *STPCD*. The Governing Body will ensure that decisions on pay progression are made by 31 December for head teachers and by 31 October for other teachers. Teachers will need to demonstrate good progress towards achieving performance management targets and have shown competence in all elements of Teachers' Standards.

At Fieldhead Carr Primary School each class teacher will have 3 targets which relate directly to the School Development Plan. 1 target being numerical relating to achievement and progress within their class.

To evidence 'good progress' towards achieving these targets teachers will:

- Agree their targets with their line manager at the initial Performance Management meeting that takes place usually during the 3rd week of the Autumn Term, but no later than October 31st.
- Be pro-active in achieving these targets, seeking support/training where it is needed
- At the second Performance Management Meeting, which takes place mid-year in term 2, class teachers should be able to evidence progress towards achieving their targets with their line manager, agreeing at the meeting any further support/training that may be necessary.
- Targets are then reviewed at the first Performance Management meeting of the year, class teachers must be able to evidence the progress that they have made towards achieving all 3 targets. In the incidence of a teacher leaving, this review will take place in July.
- In the case of the class teacher and Headteacher agreeing that a target has not been fully achieved, the Headteacher must consider the evidence put forward by the class teacher to determine whether good progress towards achieving the target has been made. The Headteacher may take into account extenuating circumstances such as (e.g. illness/mobility of children within class etc).
- Reviews will be deemed successful unless significant concerns about standards of performance, which may affect pay progression, have been raised and recorded with the teacher during the formal annual performance management/appraisal cycle and have not been sufficiently addressed by the conclusion of that process. If following a review the decision is made to withhold a pay point/enter capability procedure then this should be confirmed in writing.

Where the head teacher has not been recommended for pay progression he/she will be informed by the appropriate governor. The head teacher will notify any teacher who has not been recommended for pay progression of the date when the Governing Body meets to consider pay recommendations. Details of the appeals process can be found within the School Pay Policy.

5.5. REVIEWING PERFORMANCE

5.5.1. Observation

The effective and efficient operation of the appraisal process requires lesson observation to be a confidential process of constructive engagement within an atmosphere of support and co-operation.

Accordingly, observations will be carried out in a supportive fashion, with professionalism, integrity and courtesy, will be evaluated objectively and reported accurately and fairly and will take account of particular circumstances which may affect performance on the day.

At least five working days' notice of the date and time of the observation will be given and verbal feedback provided by at least by the end of the next school day and written feedback within 5 working days, unless circumstances make this impossible.

Classroom observation will be carried out by qualified teachers.

For the purposes of appraisal, teachers' performance will be **assessed on the 7 areas outlined in the teaching profile document (appendix 1). These include: Conditions for learning, Behaviour Management, Data, Formal Lesson Observations (Literacy and Maths), Book Scrutiny and Planning Scrutiny.** Teachers will be observed on an appropriate and reasonable number of occasions and will, as far as possible, be agreed by the appraiser with the appraisee based on the individual circumstances of the teacher and the overall needs of the school. The number and duration of appraisal observations will be in accordance with the school's observation protocol. These areas of assessment will include formal and informal learning walks undertaken by SLT. For the purpose of professional development, feedback about lesson observations should be developmental and triangulated with evidence of data and book scrutiny, not simply a judgement using Ofsted grades.

Where possible and appropriate school will limit the need for additional observations during the appraisal year and may use the findings of each observation, including appraisal observations, for other management requirements (for example subject area reviews).

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

5.5.2 Development and Support

Appraisal is a supportive process which will be used to inform continuing professional development. The school wishes to encourage a culture in which all teachers take responsibility for improving their teaching through appropriate professional development e.g. through peer observation. Professional development will be linked to school improvement priorities and to the on-going professional development needs and priorities of individual teachers. **The initial appraisal meeting (to review and set new targets) takes place in September and a mid-year meeting in February. As well as these formal meetings, line managers meet informally with their appraisees to ensure that good progress towards meeting their objectives is being made.**

The school's CPD programme will be informed by the training and development needs identified as part of the appraisal process. 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 training and support will help the school to achieve its priorities; and
- b) the CPD identified is essential for an appraisee to meet their objectives.

During the review meeting consideration will be given where it has not been possible for teachers to fully meet their performance criteria because the support recorded in the planning statement has not been provided.

5.6. ANNUAL ASSESSMENT

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

During the review part of meeting in September the line manager and appraisee will agree and generate a final appraisal report which the teacher will agree and sign at the end of the meeting. 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 against the relevant standards;
- an assessment of the teacher's training and development needs and identification of any action that should be taken to address them;
- a recommendation on pay (**N.B. – pay recommendations need to be made by 31 December for head teachers and by 31 October for other teachers**);
- opportunity to agree and sign the report

A review meeting will take place to discuss the content of the report and any further action required and to inform objective setting for the next cycle. In some circumstances an interim review meeting may be appropriate.

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

Appraisal is not limited to an annual assessment meeting and will be part of ongoing professional dialogue.

5.6 TEACHERS EXPERIENCING DIFFICULTIES

When dealing with a teacher experiencing difficulties, the objective is to provide support and guidance through the appraisal process in such a way that the teacher's performance improves and the problem is, therefore, resolved.

Where this is unsuccessful the appraiser will make the teacher aware of their concerns and provide appropriate support to improve. If the appraiser remains dissatisfied with progress they should liaise with the headteacher and a decision will be made with regards to entry into the capability procedure. If the teacher enters the procedure they will be notified in writing and will be invited to a Support Stage Meeting and informed that the appraisal system will no longer apply and that their performance will be managed under the capability procedure.

Where it is apparent that a teacher's personal circumstances are leading to difficulties at school, support will be offered as soon as possible, without waiting for the formal annual assessment.

5.7 APPEALS

Appraisees have a right of appeal against any of the entries in the written appraisal report. Details of the appeals process are available from the head teacher or from the school governing body.

6 OTHER RELATED POLICIES & DOCUMENTS

6.5 The following policies are related to this policy:

- Model Capability Policy for Schools Based Staff
- Model Pay Policy

6.6 The following documents are related to this policy:

- The School Teachers' Pay & Conditions Document
- The Teachers' Standards
- The Education (School Teachers' Appraisal) (England) Regulations 2012

- Attachment 1 (Example of Observation Pro-forma)

Teaching Profile

Term:				Phase:				Leader:						
	Planning		Behaviour Management		Literacy Observation		Maths Observation		Conditions for Learning		Books		Progress	
Grades														
Overall Grade														
Overall Strength														
Overall Targets														

REVIEW

The Governing Body of Fieldhead Carr Primary School adopted this policy on _____.

It will review it in _____ unless any changes are required prior to this.