



Caring **A**chieving **R**espectful **E**xciting

Performance Management and Appraisal Policy

This model policy was produced by the Derby City Council Schools Policy Group consisting of union representatives from ATL, NUT, NASUWT (at local level) and LA officers from HR and Learning and Inclusion.

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Contents	Page
1 Introduction	2
2 Purpose	2
3 Application of the Appraisal Policy	2
4 The Appraisal Period	3
5 Appointing Appraisers	3
6 Setting Objectives	4
7 Review Meeting	5
8 Pay Progression	5
9 Development and Support	6
10 Annual Assessment	6
11 Appeals	7
12 General Principles Underlying This Policy	7
13 Appendix 1 – Classroom Observation	9
14 Appendix 2 – Teachers Experiencing Difficulties	11
15 Appendix 3 – Employee Support Action Plan	16
16 Appendix 4 – Criteria for Teachers’ Pay Awards	17

1. INTRODUCTION

- 1.1 The Governing Body of Hardwick Primary School adopted this policy following consultation with the recognised teaching unions and all teaching staff.

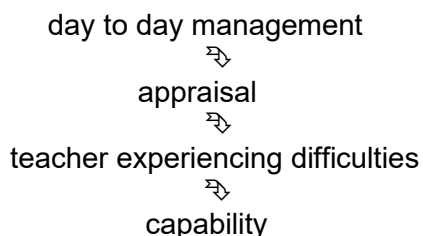
The policy will be reviewed annually.

2. PURPOSE

- 2.1 This Policy for Appraising Teacher's, sets out how we will improve outcomes for students, and raise the morale of teachers, by motivating teachers to up-date their skills and improve their performance.

3. APPLICATION OF THE APPRAISAL POLICY

- 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 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.
- 3.3 In the course of normal management supervision, there will be frequent discussions about performance and achievement levels. Most concerns will be dealt with within the informal management process and must be communicated clearly.
- 3.4 The appraisal process will not be used as a substitute for any part of the Capability Procedure. Capability is subject to a separate policy and procedure and will be considered a last resort for addressing under performance issues. The flow chart below explains the process to follow:



- 3.5 This policy should be read in conjunction with the School's Pay Policy.

4. THE APPRAISAL PERIOD

- 4.1 The appraisal cycle, including planning and reviews will be completed for all teachers by 31 October and for Head Teachers by 31 December.
- 4.2 Teachers who are employed on a fixed term contract of less than one year will have their appraisal managed in accordance with the principles underpinning this policy. The length of the period will be determined by the duration of their contract.
- 4.3 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.
- 4.4 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. APPOINTING APPRAISERS

- 5.1 All appraisers of teachers, other than those appraising Head teachers, will be teachers and will be suitably trained.

5.1.1 Head Teacher

The Head teacher will be appraised by the Governing Body, supported by a suitably skilled and experienced external adviser who has been appointed by the Governing Body for the purpose of providing advice and support. The external adviser will have proven expertise in the appraisal process of Head teachers and will have no professional or personal connection with the Head teacher.

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, they may submit a written request for that governor to be replaced, stating the reasons for the request.

5.1.2 Teachers

The choice of appraiser is for the Head teacher, this would normally be the teacher's line manager having regard to the fair and equitable allocation of workload for that individual. Where teachers have an objection to the Head teacher's choice, their concerns will be carefully considered and, where possible, an alternative appraiser will be offered. All appraisers appointed by the Head teacher will be qualified teachers and will have current or recent teaching experience.

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 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.

6. SETTING OBJECTIVES

6.1 Head Teacher

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.

6.2 Teachers

Objectives will be set before, or as soon as practicable after, the start of each appraisal period. The objectives set will be Specific, Measurable, Achievable, Realistic and Time-bound and will be appropriate to the appraisees 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 by the Head Teacher 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. Where this is linked to pupil progress then 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 for example, using sub-targets, can lead to teachers experiencing unreasonable workload and pressure making the objectives more difficult to achieve. Therefore no teacher will be given more than three objectives.

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

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

Performance Management and Appraisal Policy

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.

Appraisers are advised to use the Teacher Standards (England) published in 2012 for reviewing performance and setting appraisal objectives. The Teacher Standards should not be used as a "check list" to be met, and though appraisal is a review of overall performance of teachers and Head teacher, objectives cannot cover the full range of a teacher's roles/responsibilities. Objectives will, therefore, focus on the priorities for the individual. At the review stage, it will be assumed that those aspects of a teacher's role/responsibilities not covered by the objectives have been carried out satisfactorily.

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.

The appraisal process will be reviewed annually by the Head teacher and the governing body in consultation with the recognised unions and professional associations.

All appraisal activities will take place within the teacher's directed time, but not within a teacher's PPA time.

7. REVIEW MEETING

- 7.1 At the end of the cycle, assessment of the performance against an objective will be on the basis of 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 favorably.
- 7.2 The appraisal cycle is annual, but on occasions it may be appropriate to set objectives that will cover a longer period. The basis on which progress is being made, will be assessed and recorded in the planning and review statement at the beginning of the next cycle.

8. PAY PROGRESSION

- 8.1 Teachers' appraisal reports will contain pay recommendations by the appraiser. Final decisions about whether or not to accept a pay recommendation will be made by the Governing Body having regard to the appraisal report and taking into account, advice from the senior leadership team. Decisions made by the appraiser would not normally be overturned.
- 8.2 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 School Teachers Pay and Conditions document. The Governing Body will ensure that decisions on pay progression are made by 31 December for Head teachers and by 31 October for teachers. Any subsequent pay increase being backdated to 1 September.

9. DEVELOPMENT AND SUPPORT

- 9.1 Appraisal is a supportive process which will be used to inform continuing professional development. The school wishes to encourage a culture in which all teachers take responsibility for improving their teaching through appropriate professional development, through peer observation for example. Professional development will be linked to school improvement priorities and to the on-going professional development needs and priorities of individual teachers.
- 9.2 The school'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.
- 9.3 An account of the training and development needs of teachers including the instances where it did not prove possible to provide any agreed CPD, will form a part of the head teacher's annual report to the Governing Body about the operation of the appraisal process in the school.
- 9.4 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.
- 9.5 Account will be taken in a review meeting of 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.
- 9.6 Where a teacher is experiencing difficulties see Appendix 2 for further guidance.

10. ANNUAL REVIEW MEETING

- 10.1 Each teacher's performance will be formally reviewed in respect of each appraisal period through a discussion with the appraiser and appraisee. In reviewing the performance of the Head teacher, the Governing Body must consult the external adviser.
- 10.2 The teacher will receive as soon as practicable following the end of each appraisal period, and have the opportunity to comment on, a written appraisal report. The appraisal report will include:
- details of the teacher's objectives for the appraisal period in question;
 - a review of the teacher's performance of their role and responsibilities against their objectives
 - a review of the teacher'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 (N.B. – pay recommendations need to be made by 31 December for Head teachers and by 31 October for other teachers);

10.3 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.

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

11. APPEALS

11.1 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. 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, following which the teacher (and head teacher when the head has not been recommended for pay progression) may exercise the right of appeal, assisted by a companion who may be a colleague, a trade union official or a trade union representative.

12. GENERAL PRINCIPLES UNDERLYING THIS POLICY

12.1 Consistency of Treatment and Fairness

The Governing Body is committed to ensuring consistency of treatment and fairness and will abide by all relevant equality legislation.

12.2 Sickness

If long term sickness absence appears to have been triggered by the commencement of monitoring procedures, the case will be dealt with in accordance with the school's absence policy and will normally be referred to the occupational health service to assess the member of staff's health and fitness for continued employment and the appropriateness or otherwise of continuing with monitoring. The views of the occupational health practitioner will always be taken into account before a decision is reached.

12.3 Grievances

Where a member of staff raises a grievance during the appraisal process, the process may be temporarily suspended in order to deal with the grievance.

12.4 Confidentiality and Professional Relationships

The appraisal process will be treated with confidentiality. Only the appraiser's line manager or, where s/he had more than one, each of her/his line managers will be provided with access to the appraisee's plan recorded in her/his statements. This will be done upon request and only where this is necessary to enable the line manager to discharge her/his line management responsibilities. Appraisees will be consulted on requests for access to statements in the context of this policy.

12.5 The process of gathering evidence for performance review will not compromise normal professional relationships between teachers. The Governing Body recognises that the reviewer will consult with, and seek to secure the agreement of, the appraisee before seeking information from other colleagues about their work.

12.6 However, the desire for confidentiality does not override the need for the Head teacher and Governing Body to quality-assure the operation and effectiveness of the appraisal system. The Head teacher or appropriate colleague might, for example, review all teachers' objectives and written appraisal records personally – to check consistency of approach and expectation between different appraisers. The Head teacher will also wish to be aware of any pay recommendations that have been made.

12.7 Monitoring and Evaluation

The Governing Body and Head teacher will monitor the operation and effectiveness of the school's appraisal arrangements.

The Head teacher will provide the Governing Body with a written report on the operation of the schools appraisal and capability policies annually. The report will not identify any individual by name or contain any information that would enable an individual to be identified. The report will include an assessment of the impact of these policies on:

- Race
- Gender
- Sexual Orientation
- Disability
- Religion and Beliefs
- Age
- Part-time Status
- Maternity and Pregnancy

The Head teacher will report on whether there have been any appeals or representations on an individual or collective basis on the grounds of alleged discrimination.

12.8 Retention

The Governing Body and Head teacher will ensure that all written appraisal records are retained in a secure place for six years and then destroyed.

APPENDIX 1

CLASSROOM OBSERVATION PROTOCOL

The Governing Body is committed to ensuring that classroom observation and the appraisal cycle are both 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

Process

- The arrangements for classroom observation will be included in the planning statement at the start of the appraisal cycle and will include the amount of observation and specify its primary purpose. Any particular aspects of the teacher's performance to be assessed, the duration of the observation, when the observation will take place and who will conduct the observation will also be included.
- Classroom observations will only be undertaken by persons with qualified teacher status (QTS).
- In keeping with the commitment to supportive and developmental classroom observation, those being observed will be notified in advance. At least five normal working days' notice of the date and time of the observation will therefore be given.
- A pre-observation meeting will take place to discuss the context of the lesson and to confirm the focus of the observation.
- The governing body agrees that there will be up to 3 observations for all purposes of a maximum of 60 minutes in length, per appraisal cycle. This will also include drop-ins and learning walks and for quality assurance purposes, will be undertaken by the Head Teacher.
- The amount of observation for each teacher should reflect and be proportionate to the needs of the individual. Teachers (including Head teacher) whose posts have responsibilities outside the classroom should also expect to have their performance of those responsibilities observed and assessed.
- The amount of observation with a clear focus agreed between teacher and appraiser will be determined through discussion in the planning and review meeting and as appropriate to the objectives set and whether the teacher works part or full time.
- 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. Information gathered from classroom observation will assist the Head teacher in the exercise of her/his duty to evaluate the standards of teaching and learning and to ensure that proper standards of professional performance are established and maintained.

- Oral feedback will be given within 24 hours of the lesson being observed and take the form of an informed professional dialogue. 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 discussed with the teacher.
- The written record of feedback will include the date on which the observation took place, the lesson observed and the length of the observation. The teacher has the right to append written comments on the feedback document. No hand written notes should be retained.

APPENDIX 2 – TEACHERS EXPERIENCING DIFFICULTIES

GUIDANCE ON INFORMAL STRUCTURED SUPPORT AND MONITORING

This document provides additional advice and guidance for schools in implementing informal structured support and monitoring for relevant teachers.

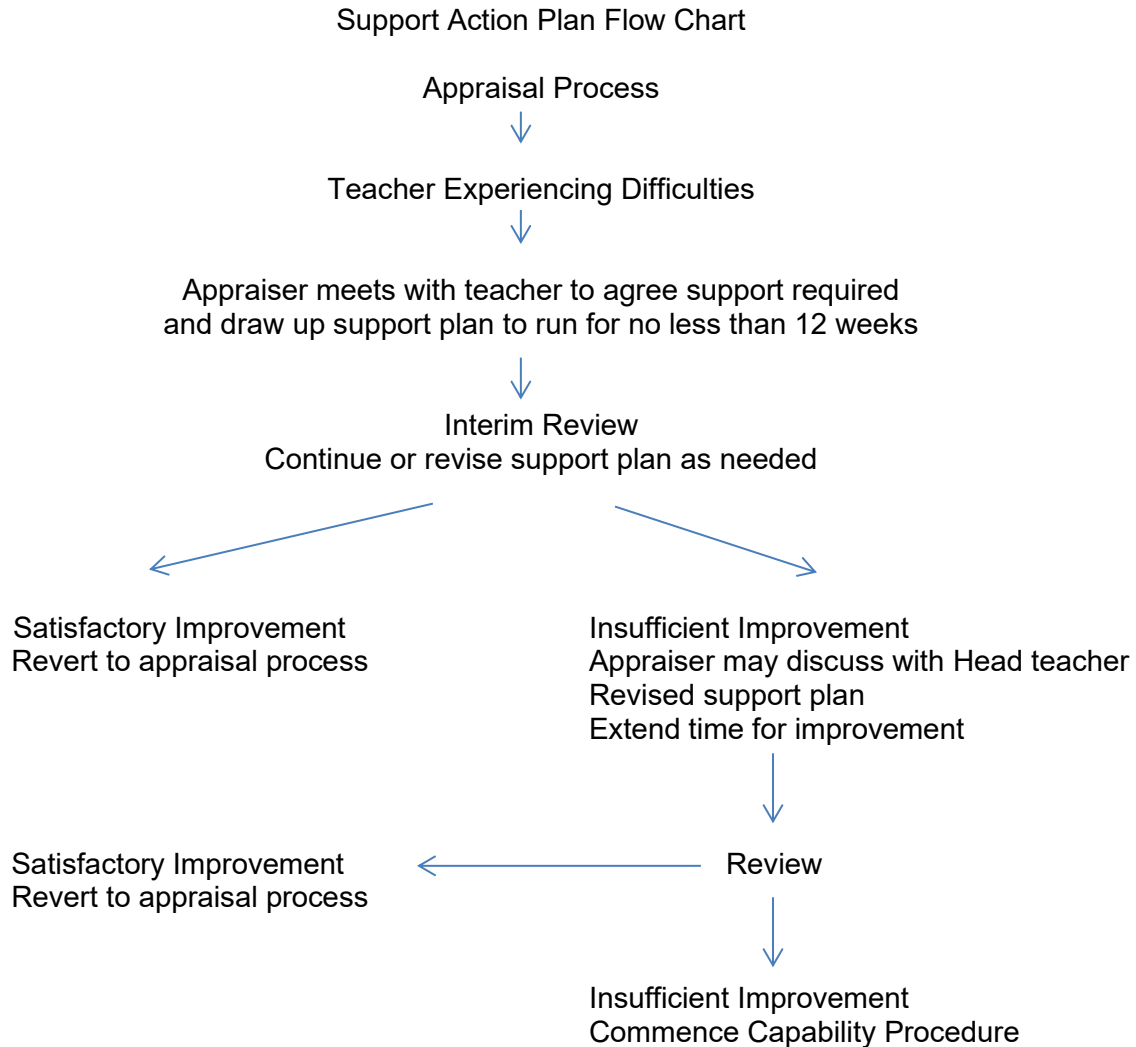
1. Under-performance or lack of competence may affect teachers at all levels at any time in their careers and should therefore be actively supported by colleagues in the school. This guidance deals with identifying the nature of the problems, the needs of the teacher and establishing an appropriate support programme.
2. The Appraiser must inform the Head teacher when they develop concerns about the performance of a teacher, and are contemplating a review meeting to consider implementation of a structured support and monitoring programme. Likewise, a Head teacher or senior leader who identifies significant concerns about a teacher's performance should ensure the appraiser is informed and that appropriate measures are taken.
3. The Head teacher will need to ensure that the Appraiser has the necessary knowledge, skills and experience to determine an appropriate structured support and monitoring programme and its implementation. The Head teacher should review whether:
 - the appraisal process has been operated fairly and appropriately so far
 - the teacher has received appropriate, timely feedback and clarity on the expected standards of performance and improvement
 - relevant CPD, has taken place through the performance management process and provision linked to school priorities (SIP).
4. It is important that the teacher knows at the outset what is expected of them. During the annual appraisal meeting the appraiser should check that the teacher is clear on:
 - the responsibilities of their job (is the job description up to date?)
 - If the person specification for the job is available this would also help to clarify the competence requirements in terms of knowledge, skills and experience
 - the standards expected in the job (Teachers Standards 2012 for all teachers, except QTLS holders, and Post Threshold, AST standards etc., where relevant)
 - the person to whom he/she is responsible for the job (line manager).
5. The nature of concern about performance or omission, its level of seriousness and cause(s), must be communicated at the outset to the teacher, investigated and identified by structured information gathering and effective recording. It should be stressed that the aim of the support and monitoring programme is to help the teacher to improve and develop the performance of his/her duties in the interests of the pupils, teacher and the school as a whole. The action plan will be agreed with the teacher a sample form is shown in Appendix 3.
6. Where there is evidence from a G.P. and/or the Occupational Health provider that health may be a factor impairing work performance, their advice will be sought:
 - To ensure the teacher is fit for work
 - Advise whether any reasonable adjustments should be considered to enable the teacher to fulfil their duties
 - Timescales for managing a return to the substantive work/duties of a teacher.

Process

1. Having identified any concerns about performance through everyday staff management and appraisal, a teacher should have the opportunity to explain the reasons for the concerns and have an opportunity to address the situation.
2. Details of any concern about performance will be brought to the teacher's attention. The Appraiser will record any action taken and the teacher's response when explanation is sought. The teacher will be informed that he/she has a responsibility to achieve a professionally acceptable standard. The teacher will be informed what is required, how their performance will be reviewed, the period of review, what support will be available and that application of the Formal Capability Procedure will need to be considered if there is insufficient improvement. Subsequent advice and support may achieve the desired and agreed changes in performance.
3. It is anticipated that most concerns will be dealt with through this management process and within appraisal.
4. The timescale adopted will be in accordance with the seriousness of the identified underperformance. The period given within the Appraisal process for significant improvement to take place would normally be no less than 12 working weeks.

Performance Management and Appraisal Policy

5. The following is the Support Plan Flow Chart that Appraisers should follow:



Summary

- Head Teacher ensures Appraiser is suitable for the circumstances and has mentor support.
- Teachers' Standards are a regular reference point in the school and staff know what meeting the teaching standards looks like in terms of the day to day practice in the school (not treating them as a checklist), using the school's own systems/policies.
- A support plan format will facilitate the detailing of the necessary components of the support and monitoring process, with a range of evidence and concrete success criteria to ensure clarity of expectations for all parties.

- Listen to what the teacher thinks about the type of support/training they find most helpful and therefore incorporated into the plan. Familiarity in the school with self-evaluation, peer working, coaching and the use of leading professionals to develop other's practise will broaden the strategies available. Cluster and other networks may provide other sources of support.
- Strongly advise the teacher to consult with their union representative for advice/guidance on making best use of the programme of structured support and monitoring during appraisal. They could share the plan with their representative and bring back any suggestions for consideration. The involvement of the union representative is usually very helpful in ensuring the action taken is appropriate and as effective as possible. In exceptional cases the union may have a concern about the way the process is being applied and, in these circumstances may request a meeting with the Head Teacher.
- The head should then seek advice from their HR provider in assessing whether any revisions should be made. Use of a meeting called by the head, outside of the appraisal process enables all information and views to be considered and that the process being applied to the teacher is fair and robust. Should a formal meeting under Capability Procedure be necessary, it is less likely that issues will emerge that require the earlier steps to be repeated.
- Build in regular, constructive feedback throughout the programme so that success is recognised and built upon, the effectiveness of the support is monitored and amendments can be considered as soon as is necessary.
- Allow time for the support to be digested by the teacher, for reflection with the person providing support and for further development/embedding of the improvement to practice. An initial period for improvement reflected in the action plan should be sufficient to demonstrate whether the process adopted is effective and any outstanding improvement still required is likely to be secured through a short extension to the plan.
- Ensure the teacher understands that models of good practice are provided to help them and illustrate how the desired pupil learning may be achieved but that it is their responsibility to take ownership.
- Although the role of the Appraiser, in setting/agreeing the plan with the teacher and assessing improvement, is separate from the teacher's mentor (who provides and manages support) they need to be very consistent in their understanding of the expectations sought.

APPENDIX 3

EMPLOYEE SUPPORT ACTION PLAN (EMPLOYEE NAME)

Support start date	
Concerns or issues raised	
Targets to be achieved – maximum of 3 initially	
Success criteria	
Support put in place e.g. mentor, training, identifying individual learning needs	
Monitoring period	
Achieved/referred	
Reviewers name	
Employees signature	

APPENDIX 4

CRITERIA FOR TEACHERS' PAY AWARDS

When making judgements about pay progression for teachers the following criteria are applied.

- All teachers on MPS 1-6 receive 1 pay point progression.
- For teachers who do not meet their performance targets or who are not consistently good on any particular aspect of their teaching over time evaluation (teacher on a page), a teaching and learning action plan is put in place to improve that particular aspect of their performance.
- Teachers wishing to apply to pass through the UPS threshold will need to demonstrate that they have:
 1. over the previous two years shown good performance i.e. met their performance targets;
 2. met all the teaching standards and are demonstrating excellence in some of these;
 3. shown that they are meeting the majority of the threshold standards;
 4. shown impact in an area of school development beyond their own classroom.
- Teachers wishing to progress beyond UPS 1 will need to demonstrate that they have:
 1. over the previous two years shown good performance i.e. met their performance targets;
 2. met all the teaching standards and are demonstrating excellence in an increasing number of these;
 3. shown that they are meeting the majority of the threshold standards and have shown improvement in areas targeted;
 4. sustained improvements in an area of responsibility beyond their own classroom and are taking on increased responsibilities beyond this area.
- Consideration for leadership pay progression (within their pay range) will be given when they have:
 1. met their performance targets;
 2. shown improvements in their targeted areas of professional development;
 3. sustained improvements in their areas of responsibility.
- Consideration for accelerated pay progression for all staff (within their pay range) will be given when they have:
 1. shown two consecutive years of exceeding their performance targets;
 2. shown significant improvements in their targeted areas of professional development;
 3. shown significant and sustained impact / improvements in an area of responsibility beyond those that would be expected within their paid duties.