



Appraisal Policy & Procedure For Schools

INTRODUCTION

The Governing Body is required to have appropriate appraisal arrangements in place which allows the school to manage and review individual employee performance annually.

This procedure is designed in accordance with the Education (Schools Teachers' Appraisal) (England) Regulations 2012, and sets out the principles that apply to teachers and support staff in all maintained schools.

SCOPE

The appraisal policy applies to all Teachers employed on permanent contracts of employment and those employed on fixed term contracts lasting one school term or more.

This appraisal policy applies to Support Staff in schools.

DEFINITIONS

The meaning of some key words and phrases, for the purposes of this policy, are explained below:

Work Colleague. A current employee from the individual's workplace or by mutual agreement, a current employee from another workplace.

Headteacher. The person responsible for leading and managing the school, and has delegated powers to ensure capability issues are appropriately managed. References to the Headteacher shall include any nominated Deputy Headteacher acting on his / her behalf.

Appraiser. The person or panel who sets and monitors objectives and undertakes the appraisal.

Trade Union representative. Lay or permanent official of the Trade Union to which the employee belongs, who has been reasonably certified in writing by their union as having experience of, or having received training in, acting as a worker's companion at capability hearings.

Working days. Any designated term-time or Teacher Education Training Day or any other contractual working day, but excluding the day of any capability meeting and the day on which the notification of the meeting is sent to the employee.

LA. Local Authority

SMARTID. Principles of setting objectives. **S**pecific, **M**easurable, **A**chievable, **R**ealistic, **T**ime-bound, **I**mpactful and **D**ifferentiated.

QTLS. Qualified Teacher Learning and Skills.

QTS. Qualified Teacher Status.

CPD. Continuous Professional Development.

RESPONSIBILITY

The **Headteacher** is responsible for making employees aware of this policy. The Headteacher is responsible for ensuring that appraisal discussions are carried out effectively, and for monitoring adherence to the appraisal policy and procedure. The Headteacher is responsible for ensuring that managers are trained in order to carry out appraisals.

Employees are responsible for participating in appraisal review of their own development and progress towards agreed objectives. All employees should ensure that relevant documentation is completed with the line manager/reviewer.

Governing Bodies are responsible for establishing arrangements for performance management and appraisal. Governing bodies are responsible for ensuring that the appraisal policy and procedure is embedded within the school and all employees have an annual appraisal discussion.

Human Resources Services is responsible for providing timely and appropriate advice and support to the Headteacher or Governing Body as required. They are not responsible for making decisions in relation to this procedure; these remain the responsibility of the Headteacher and Governing Body. Human Resources Services is accountable for the advice they give.

Learning & Achievement Team is responsible for providing support and guidance to Headteachers and Governing Bodies on identifying, monitoring and resolving teacher capability issues.

PRINCIPLES

Fairness

Appraisals represent an opportunity to assess employee performance against specific objectives and provide a mechanism to discuss development. On this basis it is important that appraisals are conducted fairly and objectively. No employee will be treated unfavourably on the grounds of the protected characteristics of age, disability, gender reassignment, marriage and civil partnership, pregnancy and maternity, race, religion and belief, sex or sexual orientation, or any other grounds.

Feedback to employees

An integral part of the appraisal process is providing regular feedback to employees on their performance. Regular feedback ensures that employees understand what is expected of them, and how they are performing against the requirements of the role and specific set objectives. Regular feedback should be given through the normal management process for example regular 1:1s, team meetings etc. The arrangements for giving feedback will be determined by the school. Feedback should be sourced from a wide range of sources

including other colleagues, and subordinates (where applicable). It is important that feedback is not just given at the annual appraisal stage; employees need to have regular feedback throughout the year.

Where it is identified that there is a potential performance issue a programme of support should be arranged with the individual prior to any escalation to formal capability procedures.

Role of the line manager / appraiser.

In most circumstances the individual's line manager will be the person reviewing and monitoring ongoing performance, holding regular 1:1s and conducting the annual appraisal discussion. The line manager / appraiser will be responsible for providing support including coaching and mentoring to ensure that employees know what is required of them and how to achieve performance standards and include, as appropriate a discussion on appropriate CPD.

Where the person conducting the appraisal is not the individual's line manager the appraiser must have some direct responsibility for the performance of the individual and they must be suitably trained in the appraisal process. The person conducting the appraisal must be in a more senior post within the school; it is not appropriate for the appraiser to be of the same level or in a lesser post than the person being appraised.

The line manager / appraiser will ensure that an annual performance appraisal for all staff is undertaken once a year. It is recommended that a mid year review is also undertaken.

This role is undertaken by the Governing Body for the Headteacher (see para 7)

Role of the employee / appraisee

Every employee should ensure that they take responsibility for their own professional development. The appraisee will ensure that they strive to meet and exceed objectives, and will ensure that continuous professional development is planned and evidenced.

Staff should meet with their Headteacher or line manager to discuss their salary progression aspirations and development needs.

The appraisee should keep a record of achievement and development activities throughout the year, in preparation for the annual performance appraisal.

Annual Appraisal Discussion

Every employee in the school will have an annual appraisal discussion, in line with the school's appraisal cycle and the dates published for holding annual appraisal discussions. Please see school specific guidance.

The annual appraisal discussion will include the following:

- Review of the individual's performance over the last academic year, including a review against the objectives set at the beginning of the appraisal period.
- Agreeing objectives for the next appraisal period in line with school priorities, and for teaching staff, in line with teacher standards and the school's priorities for teaching and learning for the coming year.

- A discussion regarding professional development and training activities.

A written report detailing the appraisal discussion will be issued to the employee for signature, within 5 working days.

The annual appraisal will be confidential and employee appraisal documentation will be placed on the employee's file for 6 years.

Training

The Governing Body and Headteacher are responsible for ensuring that managers within the school who have responsibility for undertaking appraisals are sufficiently trained, and supported in order to conduct appraisals and performance management in line with the annual appraisal period.

APPRAISAL PERIOD

The appraisal period will run for twelve months from 1st September until 31st August..

Teachers who wish to apply for progression, or in exceptional circumstances accelerated progression, must do so by 31st October in the academic year in which the application relates. Any award will be backdated to 1st September. Please see the 'Teacher Performance Related Pay Policy (HR007 (SCH) for further information.

Employees who are employed on a fixed term contract of less than one year will have their performance managed in accordance with this policy with the length of the review period determined by their contract. Where a Teacher ceases employment other than at the end of the appraisal period, as detailed in 5.1, the appraisal period ends with the last day of employment.

Every employee will be appraised at least once every 12 months. It is recommended that every employee has a mid-year review appraisal discussion.

The annual appraisal discussion will normally be held in July at the end of the academic year (but no later than early September prior to the next appraisal cycle). The school may choose to hold appraisal discussions for support staff at a different time to the timeframe for teaching staff. This will be determined and agreed by the Governing Body in conjunction with the Headteacher.

The timeframe for holding annual appraisal discussions will be communicated to all staff particularly where the timeframes vary for teaching and support staff.

APPOINTING APPRAISERS

Headteacher

The Headteacher will be appraised by the Governing Body, supported by a suitably skilled and / or experienced external advisor who has been appointed by the Governing Body for that purpose.

The task of appraising the Headteacher, including the setting of objectives, will be delegated to a sub-group appraisal panel consisting of three members of the Governing Body.

Where a Headteacher 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 Headteacher. Where teachers have an objection to the Headteacher's choice, their concerns should be raised formally and will be carefully considered and, if appropriate, an alternative appraiser will be offered. All appraisers appointed by the Headteacher will be qualified teachers and will have current or recent teaching experience.

Appraisers will be trained in appraisal procedures, and reviewing performance and will be conversant with the School's Appraisal policy and procedure.

Where it becomes apparent that the appraiser appointed by the Headteacher will be absent for the majority of the appraisal cycle, the Headteacher may perform those duties herself/himself or delegate those duties to another teacher who has undertaken the relevant training on appraisal procedures for the duration of that absence.

If the Headteacher 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.

Support staff

Support staff members will normally be appraised by their direct line manager. This will be determined by the Headteacher.

SETTING OBJECTIVES

Teaching staff

The Headteacher's objectives will be set by the Governing Body after consultation with the external advisor.

Objectives for each teacher will be set before the start of the appraisal period. The objectives set for each teacher will be specific, measurable, achievable, realistic and time-bound (SMARTID) and will be appropriate to the teacher's role and level of experience. The appraiser and teacher will seek to agree the objectives but if that is not possible, the appraiser will determine the objectives. Objectives may be revised if circumstances change.

The objectives for teachers will be linked to the relevant Teacher standards and in line with level of experience and relevant stage of career and (following the introduction of teacher performance related pay) salary aspirations. Objectives will link to school priorities for teaching and learning as identified in the School's improvement plan.

The objectives set for each teacher will, if achieved, contribute to the School's plans for improving the School's educational provision and performance and improving the education of pupils at the School.

It is recommended and accepted practice within Herefordshire that teachers have three objectives.

The criteria for the objectives should be made clear to the employee so they are aware of what success should look like, i.e

'highly competent'

performance which is not only good but also good enough to provide coaching and mentoring to other teachers, give advice to them and demonstrate to them effective teaching practice and how to make a wider contribution to the work of the school, in order to help them meet the relevant standards and develop their teaching practice

'substantial'

of real importance, validity or value to the school; play a critical role in the life of the school; provide a role model for teaching and learning; make a distinctive contribution to the raising of pupil standards; take advantage of appropriate opportunities for professional development and use the outcomes effectively to improve pupils' learning;

'sustained'

maintained continuously over a long period

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 that 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.

Before, or as soon as is practicable after the start of each appraisal period, each teacher will be informed of the standards against which their performance in that appraisal period will be assessed. Teachers will be assessed against the appropriate set of standards contained in the document "Teachers' Standards" published in May 2012. The Headteacher or Governing Body (as appropriate) will need to consider whether certain teachers with specific responsibilities 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, this may include the overarching professional standards for teachers in the lifelong learning sector, held by the Learning and Skills Improvement Service

Teachers who do not wish to progress through the pay ranges will continue to be set objectives so that they continue to develop as a professional teacher.

Objectives will be moderated across the school to ensure that they are consistent between teachers with similar experience and levels of responsibility.

Support staff

Support staff objectives will be set by their line manager in line with requirements of the post, the level of experience in the current role, the grade, and will be in line with the needs of the school.

REVIEWING PERFORMANCE

Observation – Teaching

The School believes that observation of classroom practice and other responsibilities is important both as a way of assessing teachers' performance in order to identify any

particular strengths and areas for development they may have and of gaining useful information which can inform school improvement more generally. All observations will be approached in a supportive and positive manner.

Teachers' performance will be regularly observed but the amount and type of classroom observation will depend on the individual circumstances of the teacher and the overall needs of the school. Classroom observation will be carried out by those with QTS

Verbal feedback will be provided at least by the end of the next school day and written feedback within 5 working days, unless circumstances make this impossible.

In addition to formal observation, Headteachers or other leaders with responsibility for teaching standards may 'drop in' in order to evaluate standards of teaching and to check that high standards of professional performance are established and maintained. The length and frequency of 'drop in' observations will vary depending on specific circumstances and will be determined by the school.

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

Development and support

Teaching staff

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.

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.

Support staff

Support staff will be given development opportunities in line with the requirements of their job role and the needs of the school.

Feedback

Teaching Staff

Teachers will receive constructive feedback on their performance throughout the year through regular 1:1s, and as soon as practicable after observation has taken place or other evidence has come to light (see paragraph 9.13). There should be no surprises at the appraisal meeting as employees should have been updated and received feedback throughout the year.

Feedback will highlight particular areas of strength as well as any areas that the teacher needs to focus on in line with individual objectives and teacher standards.

Where it is identified that there is a potential performance issue and the Headteacher / appraiser has concerns about any aspects of the teacher's performance, the appraiser will meet the teacher formally to:

- give clear feedback and evidence to the teacher about the nature and seriousness of the concerns; (NB clear written evidence should back up the discussion; i.e. lesson observations, appraiser observation where teacher standards have not been met, pupil data and assessment information etc)
- give the teacher the opportunity to comment and discuss the concerns;
- agree any support (e.g. coaching, mentoring, structured observations), that will be provided to help address those specific concerns;
- agree targets for improvement (in the form of a personal development plan) and set an informal support and review period;
- make clear how, and by when the appraiser will review progress, explain the implications and process if no or insufficient improvement is made.

Following the discussion, a performance improvement plan should be developed clearly outlining the standards of performance expected, with a clear indication of targets to be achieved and the timeframe for the review period. The review period should be long enough to allow sufficient time for the individual to improve their performance.

During the support and review period, performance should be regularly reviewed and the individual given feedback on their performance and on the targets set. This will provide an opportunity to discuss ongoing support, and any further coaching or support that may be required.

At the end of the review period, 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.

Support staff

Support staff will receive feedback ongoing from their direct line manager, through regular meetings. There should be no surprises at the appraisal meeting as employees should be updated and receive feedback throughout the year.

Where a performance issue is identified the same process for improvement will be followed as detailed in 9.3.3 to 9.3.6, but will be appropriate to the level held within the school.

The support given through the monitoring period will be appropriate to the performance issue to be improved, and designed to achieve that purpose. This includes coaching, mentoring, job shadowing, and other development opportunities.

Targets set for improvement will be SMARTID, and the support staff member will be clear on the standards expected.

The informal review period will be long enough to in order to achieve improvement to the required level of performance.

Transition to Capability Procedure (Teaching Staff)

If at the end of the informal review period the teacher has not achieved the targets set and the appraiser is not satisfied with progress, the teacher will be notified in writing that the appraisal system will no longer apply and that their performance will be managed under the capability procedure. Please refer to HR001 (SCH) Teacher Capability Procedure for all Categories of School.

Transition to Managing Performance (Support staff)

If at the end of the informal review period the support staff member has not achieved the targets set and the appraiser is not satisfied with progress, they will be notified in writing that the appraisal system will no longer apply and that their performance will be managed under the Managing Performance Policy and Procedure (HR006).

ANNUAL ASSESSMENT

Teaching Staff

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

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 take place (eg once a term).

Achievements should be rated in accordance with the following definitions:

'highly competent'

performance which is not only good but also good enough to provide coaching and mentoring to other teachers, give advice to them and demonstrate to them effective teaching practice and how to make a wider contribution to the work of the school, in order to help them meet the relevant standards and develop their teaching practice

'substantial'

of real importance, validity or value to the school; play a critical role in the life of the school; provide a role model for teaching and learning; make a distinctive contribution to the raising of pupil standards; take advantage of appropriate opportunities for professional development and use the outcomes effectively to improve pupils' learning;

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maintained continuously over a long period

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. The school will determine dates by which Teachers and the Headteacher will receive their written appraisal reports. 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);

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

Support staff

Support staff members will be appraised at least once per year.

The annual appraisal discussion will include a:

- review of the previous year recognising key achievements and contributions to the school.
- discussion of the employee's own assessment of their performance
- review of the objectives set and agreement of objectives for the next appraisal period.
- discussion regarding development needs.

The appraisal discussion is an opportunity for an open discussion between the manager (appraiser) and the employee. It should be supportive, and positive in nature.

It is not appropriate to raise performance issues during the appraisal discussion if these have not been raised with the individual before.

A support staff performance appraisal form will be completed and will be signed by the manager and employee. If there is any disagreement with the judgement the employee should be given the opportunity to record their comments.

A copy of the written record should be given to the employee and a copy kept on personal file.

CONFIDENTIALITY

The appraisal process including regular 1:1s and the annual appraisal discussion should be kept confidential by the line manager / appraiser and the employee.

The Governing Body and Headteacher will ensure that all written appraisal records are retained in a secure place on the employee's for six years and then destroyed.

EQUALITY AND CONSISTENCY

All appraisal documentation will be kept confidential and the contents of the discussion will remain confidential between the line manager / appraiser and the employee, and other relevant senior member(s) of staff (as agreed with the appraisee). With the agreement of the appraisee, documentation may also be provided to the appropriate trade union representative.

The Headteacher will be responsible for the quality assurance of the appraisal process and will ensure that there is equality and consistency at all stages of the process.

Headteachers need to ensure moderation of initial recommendations with a view to putting individual pay progression recommendations to governing body for agreement and so as to account to them overall for the effective operation of links between pay and performance. Where a school has more than 1 appraiser (other than the headteacher) the headteacher may be the moderator.

Schools should refer to the DfE Guidance Document “Implementing your School’s Approach to Pay” 2014 page 15 for further information regarding the Equality Act 2010.

COMPLIANCE

Failure to follow this procedure may impact on good employee relations and the reputation of the School and Governing Body as a good employer. In addition, it may result in the Governing Body breaching employment legislation, incurring financial penalties and / or damage to its reputation.

Headteachers who fail to manage in accordance with this policy will be investigated and this may lead to formal action under the Teacher Capability Policy and Procedure or Disciplinary Policy and Procedure.

IMPACT ON THE SCHOOL’S KEY PRIORITIES

The policy provides clear statements about headteacher and employee responsibilities to ensure that capability issues are raised and dealt with in a timely manner. This procedure supports schools in delivering excellent teaching and learning and enables the Governing Body to effectively meet its key school priorities.

TRAINING AND AWARENESS REQUIREMENTS

Headteachers and employees will be informed about this policy and procedure via communication channels such as school newsletters, schools online and the extranet.

MONITORING

Human Resources Services is responsible for ensuring the review of this policy and procedure.

The Governing Body is responsible for adopting and implementing this policy and procedure.

The Governing Body and Headteacher will monitor the operation and effectiveness of the school’s appraisal arrangements.

HR Services and the Learning & Achievement Team will be notified of any cases where it is concluded that the policy was breached. The notification will indicate whether there are any changes or improvements required to the policies, procedure, training, support or any other aspect of the school’s approach to grievance matters.

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