



APPRAISAL POLICY

**MELLERS PRIMARY SCHOOL
OCTOBER 2018**

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1. Introduction

- 1.1 Revised appraisal arrangements come into force with effect from 1 September 2012. They are set out in the Education (School Teachers' Appraisal) (England) Regulations 2012 (the Appraisal Regulations) which replace the Education (School Teacher Performance Management) (England) Regulations 2006 (the 2006 Regulations). The 2006 Regulations continue to apply to any performance management cycle which is in progress on 1 September 2012, unless the governing body or local authority decides to end that cycle early and to begin a new appraisal period starting on or after that date.
- 1.2 The Appraisal Regulations set out the principles that apply to teachers in all maintained schools and unattached teachers employed by a local authority, in each case where they are employed for one term or more.
- 1.3 Schools and local authorities must stay within the legal framework set out in the Appraisal Regulations and in other relevant legislation that affects all employers (for example legislation on equality, employment protection and data protection). The Regulations provide the minimum national framework within which schools should operate.
- 1.4 Schools and local authorities must have an appraisal policy for teachers and a policy, covering all staff, which deals with lack of capability. This model appraisal policy applies only to teachers, including headteachers. It has been written in the context of schools, but the same principles apply to unattached teachers.
- 1.5 The governing body acknowledges the importance of a rigorous appraisal process linking performance to pay progression decisions for teachers and members of the leadership team. They understand that this will be considered as part of an Ofsted judgement on the leadership and management of the school.
- 1.6 Nottingham City Council recognises that it is good practice for schools to consult employees on new and revised policies. This model policy has been consulted on with participating Trade Unions and Headteachers and is recommended to governing bodies.

2. Key and definitions

- 2.1 **Text in bold** indicates statutory requirements contained in the Appraisal Regulations or the School Staffing Regulations.
- 2.2 Plain text indicates the Model Policy offered to schools by Nottingham City Council.

3. Purpose

- 3.1 Mellers Primary School needs all staff to perform effectively in order to deliver the aims and vision of the school, motivating teachers to update their skills and improve their performance. To achieve this, the school aims to ensure that effective recruitment is undertaken,

performance expectations and standards are defined through the appraisal framework, performance is monitored and that employees are given appropriate feedback, support and training.

- 3.2 This policy sets out the framework for a clear and consistent assessment of the overall performance of teachers, including the headteacher, and for supporting their development and professional needs, within the context of the school's plan for improving educational provision and performance, and the standards expected of teachers.
- 3.3 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.
- 3.4 In adopting this policy, the Governing Body is committed to ensuring consistency of treatment and fairness and compliance with equality legislation.

4. Application of the policy

- 4.1 The policy, which covers appraisal, applies to the headteacher and to all teachers employed by the school or local authority, except those on contracts of less than one term, those undergoing induction (*i.e.* *NQTs – Newly Qualified Teachers*) or teachers on capability procedures.

The Ofsted School Inspection Handbook revised 2015, stresses the importance of a rigorous appraisal policy linking performance to pay progression decisions. The governing body understands the importance of this and that the appraisal process will be considered as part of the judgement on the leadership and management of the school. The procedures in place will therefore clearly demonstrate the effectiveness of the appraisal arrangements, including the most recent outcomes and the relationship to performance pay progression which is defined in paragraph 1.4 of the School Pay Policy.

5. The appraisal period

- 5.1 **The appraisal period will run for twelve months** from September to July each year.
- 5.2 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.**
- 5.3 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.
- 5.4 Where a teacher starts their employment at the school part-way through an appraisal cycle, the headteacher or, in the case of headteachers, governing body will determine the length of

the first cycle for that teacher, with a view to bringing the cycle into line as soon as possible.

6. Appointing appraisers

6.1 Headteachers

6.1.1 The headteacher 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.

6.1.2 In this school the task of appraising the headteacher, including the setting of objectives, will be delegated to a sub-group consisting of two/three members of the Governing Body.

6.1.3 It is recommended that those appointed as appraisers are determined by the headteacher and/or Governing Body to have the appropriate skills and knowledge for this role.

6.1.4 Where headteachers have an objection to the choice of their appraiser, their concerns will be considered and, if appropriate, an alternative may be offered.

6.2 Teachers

6.2.1 The headteacher will decide who will appraise other teachers taking into account the roles and responsibilities of both appraisers and appraisees.

6.2.2 Only members of staff with QTS may be appraisers for teachers. It is recommended that, in most cases, the appraiser will be the teacher's line manager.

6.2.3 It is recommended that those appointed as appraisers are determined by the headteacher and/or Governing Body to have the appropriate skills and knowledge for this role.

6.2.4 Where teachers have an objection to the choice of their appraiser, their concerns will be considered and, if appropriate, an alternative may be offered.

7. Setting objectives

7.1 The headteacher's objectives will be set by the Governing Body after consultation with the external adviser.

7.2 Objectives for each teacher will be set before, or as soon as practicable after, the start of each appraisal period. The objectives set for each teacher, will be Specific, Measurable, Achievable, Realistic and Time-bound (SMART) and will be appropriate to the teacher's role and level of experience.

7.3 The appraiser and appraisee will seek to agree the objectives but, if that is not possible, the appraiser will determine the objectives.

7.4 Where disagreement exists over the appropriate objectives, the teacher may refer the matter to a member of the Senior Leadership Team or, in the case of headteachers, another governor, not involved in the appraisal process.

7.5 Objectives may be revised during the appraisal period if circumstances change.

7.6 It is recommended that there is school-wide agreement on the appropriate number and types of objectives for teachers at different levels of experience and that these include whole school, team and individual objectives. In most cases, it is expected that each teacher will have a maximum of 3 objectives, unless by agreement in relation to specific responsibilities.

7.7 Although appraisal is an assessment of overall performance, objectives cannot cover the full range of roles/responsibilities. Objectives will, therefore, focus on the priorities for an individual for the cycle. They will take into account any relevant individual circumstances, including disability.

7.8 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 that school. For whole school and team objectives, these should reflect priorities in the school improvement plan and/or the school's strategic development plan, where appropriate.

7.9 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.

7.10 All teachers should be assessed against the Teachers' Standards, the latest copy of which can be found on the DfE website <https://www.gov.uk/government/publications/teachers-standards>

and headteachers against the National Standards of Excellence for Head Teachers

<https://www.gov.uk/government/publications/national-standards-of-excellence-for-headteachers> .

The headteacher or governing body (as appropriate) will need to consider whether certain teachers should also be assessed against other sets of standards published by the Secretary of State that are relevant to them.

7.11 Where teachers are eligible for pay progression, the recommendation made by the appraiser will be based on the assessment of their performance against the agreed objectives, it is therefore important that consideration is given to any relevant criteria when setting objectives. The decision will be based on the statutory criteria and guidance set out in the current STPCD and the relevant teacher standards.

8. Reviewing performance

8.1 Evidence

8.1.1 The evidence gathered by the school and the teacher will largely be determined by the nature and scope of the agreed objectives and/or any other identified relevant standards. Although the school will establish a firm evidence base in relation to the performance of all teachers, there is a responsibility on individual teachers and appraisers to work together.

8.1.2 Teachers may also gather any evidence that they deem is appropriate in relation to meeting their objectives, any other identified relevant standards and other criteria (e.g. in support of an application to be paid on Upper Pay Range) so that such evidence can be taken into account at the review, but they are not obliged to do so.

8.1.3 Assessment may be based on evidence from a range of sources. Whilst not an exhaustive list, and appropriate evidence may come from a variety of sources, examples may include:

- Classroom observations
- Task observations
- Reviews of assessment results
- Reviews of lesson planning records
- Internal tracking
- Moderation within and across schools
- Evidence supporting progress against teachers' standards

8.2 Lesson Observations

8.2.1 This school believes that observation of classroom practice and other responsibilities is important both as a way of assessing teachers' performance in order to identify 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 fashion and will be a developmental activity.

8.2.2 All observation should be planned, with an agreed focus and linked to objectives. The number of observations will vary depending on the individual circumstances of the teacher and the overall needs of the school, based on the principle of 'proportionate to need' and will normally be decided through discussion with the individual, in accordance with the school's observation protocol.

8.2.3 Classroom observations will be carried out by those with QTS and should be advised with at least 5 working days' notice. It is recommended that those appointed as observers are determined by the headteacher and/or Governing Body to have the appropriate skills and knowledge for this role.

8.2.4 Headteachers or other leaders with responsibility for learning and teaching standards may

'drop in' or undertake other observations to evaluate the standards of teaching and learning and to ensure that high standards of professional performance are established and maintained. The length, frequency and notice will be in accordance with the school's observation protocol.

8.2.5 For the purpose of professional development, feedback about lesson observations should be developmental, not a judgement based on Ofsted grades.

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

8.3 Development and support

8.3.1 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 and teams.

8.3.2 The school's CPD programme will be informed by the development needs identified as part of the appraisal process.

8.3.3 The Governing Body will, as far as possible, make appropriate provision for development needs arising from the appraisal process.

8.3.4 The Headteacher will report to the governing Body on CPD activities, as required.

8.3.5 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 based on 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.

8.3.6 Where CPD is identified as key to the improvement of an individual, account will be taken of where it has not been possible for teachers to fully meet the performance required, against their agreed priorities, if the resources have not been available. This should be recorded at their review meeting.

8.4 Feedback

8.4.1 Teachers will receive constructive feedback on their performance throughout the year and as soon as practicable after observation has taken place or other evidence has come to light. Feedback will highlight particular areas of strength as well as any areas that need attention. It is recommended that all feedback meetings are recorded and notes shared with the appraisee. Ideally a reasonable feedback period would be within 5 working days.

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

- a) give clear feedback to the teacher about the nature and seriousness of the concerns;
- b) give the teacher the opportunity to comment and discuss the concerns;
- c) agree any support (e.g. coaching, mentoring, structured observations), that will be provided to help address those specific concerns;
- d) make clear how, and by when, the appraiser will review progress, for example, 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 and nature of the concerns;
- e) explain the implications and process if no, or insufficient, improvement is made.

8.4.3 It is recommended that an impartial, suitably qualified third party is invited to the above meeting to assist with any points of disagreement.

8.4.3 The outcome of any such meeting will be confirmed in writing to the teacher.

8.4.4 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.

8.5 The next step

8.5.1 If the appraiser is not satisfied with progress, the teacher will be notified in writing that the appraisal system will no longer apply and that their performance will be managed under the capability procedure. The capability procedures will be conducted according to the current policy in place at the school.

8.5.2 Circumstances will vary; however, it may be appropriate for the appraiser to conduct the formal capability meetings and the capability review meeting for reasons of continuity. In the case of headteachers, this would be the sub-group of governors who have been appraising the headteacher.

9. Annual assessment

9.1 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 adviser.

9.2 This assessment is the end point to the annual appraisal process, but performance and development priorities will be reviewed and addressed throughout the year (see 8 above) in interim meetings which will take place at least once a term.

9.3 The teacher will receive a written appraisal report as soon as practicable following the end of

each appraisal period and will have the opportunity to comment on this in writing. In this school, teachers will receive their written appraisal reports by 31st June, unless not practicable (31 December for the headteacher).

9.4 The appraisal report will include:

- a) details of the teacher's objectives for the appraisal period in question;
- b) **an assessment of the teacher's performance of their role and responsibilities against their objectives and the relevant standards and their level of responsibility and experience;**
- c) **an assessment of the teacher's training and development needs and identification of any action that should be taken to address them;**
- d) **a recommendation on pay where that is relevant** (NB – wherever possibly, pay recommendations need to be made by 31 December for headteachers and by 31 October for other teachers, and approved by the School's Pay Committee, who should ensure that all teachers are individually advised in writing of the decision taken in relation to their pay);
- e) a space for the teacher's own comments;

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

9.6 Each teacher's targets will be rated with (outstanding) exceeding, (good) achieving, (RI) inconsistent or (inadequate) unsatisfactory then an overall rating for the total targets will be given. In order to qualify for a pay award, the teacher must be rated achieving or better in both the quality of teaching and pupil progress targets. It is acknowledged, however, that the pupil progress target might need to be amended through the course of the year should circumstances in the class change, as this could adversely affect pupil progress outcomes.

- If a teacher's performance is judged to be unsatisfactory or inconsistent overall there will be no pay award and this may mean a pay review recommendation will be submitted to the governing body pay committee.
- If a teacher's performance is judged to be achieving overall, there will be a pay award which could be equivalent to the teacher moving one point up the scale and a recommendation to go through threshold (if appropriate)
- If a teacher's performance is judged to be exceeding overall, there will be a pay award and the teacher may be considered for an enhanced pay progression amount (this is reviewed annually depending on exceeding being maintained)

Please see below the criteria that the leadership team will be using to make recommendations to the governing body pay committee with regard to individual teachers' pay:

Each of the grades will be given a numerical value:

Unsatisfactory = 1

Inconsistent = 2

Achieving = 3

Exceeding = 4

These will then be calculated for each teacher, and allocated thus:

6 points or fewer = inconsistent and no pay award

7-8 = points goes to moderation

9 = achieving overall

10-11 = moderation

12 = exceeding overall

Where the scores are close to a borderline, the leadership team will moderate the assessments and present to the governing body pay committee for a decision.

10. Appeals

10.1 Appraisal appeal

10.1.1 If appraisees are not satisfied with their appraisal, they should seek to resolve this by discussing the matter informally with the decision-maker within ten working days of the decision.

10.1.2 Appraisees have a formal right of appeal against their written appraisal report. In most cases this will be to the line manager of the appraiser, or another member of the senior leadership team or governor.

10.1.3 Headteachers and Governing Bodies will be able to provide details of the appropriate process in their schools.

10.2 Appeals against pay progression decision

10.2.1 Where headteachers or teachers are eligible for and have not been recommended for pay progression, they should refer to the appeals procedure in the schools' Pay Policy for Teachers and accompanying Guidance.

General principles underlying this policy

Confidentiality

The appraisal process will be treated with confidentiality. However, the desire for confidentiality does not override the need for the headteacher and governing body to quality-assure the operation and effectiveness of the appraisal system. Mellers will manage this through the following: the head teacher or appropriate colleague will review all teachers' objectives and written appraisal records personally, in order to check consistency of approach and expectation between different appraisers. The head teacher will be aware of any pay recommendations that have been made.

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, 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. Each Governing Body should consider the equality impact of the Appraisal Policy in individual schools.

Definitions

Unless indicated otherwise, all references to "teacher" include the headteacher.

Delegation

Normal rules apply in respect of the delegation of functions by governing bodies, headteachers and local authorities.

Grievances

Where a member of staff raises a grievance during the appraisal or capability procedure, the capability procedure may be temporarily suspended in order to deal with the grievance. Where the grievance and capability cases are related it may be appropriate to deal with both issues concurrently.

Sickness

If long term sickness absence appears to have been triggered by the commencement of monitoring or a formal capability procedure, the case will be dealt with in accordance with the school's absence policy and will 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 or formal procedures). In some cases, it may be appropriate for monitoring or formal procedures to continue during a period of sickness absence.

Monitoring and evaluation

The governing body and headteacher will monitor the operation and effectiveness of the school's appraisal arrangements.

Retention

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

A brief guide to the appraisal process for staff

July

- Set appraisal targets with member of SLT. These will focus on pupil progress, the quality of teaching and learning and a personal/professional target.
- Appraisee is responsible for writing an action plan with specific actions and precise timescale (supported by appraiser).
- Don't forget to share your targets with the colleagues that work closely alongside you (e.g. class TA, other teachers working in your classroom).

September – February

- Follow the action plans carefully and continue to refer to them throughout the year checking they are still relevant to you.
- Begin to collect evidence to show progress towards meeting the targets.
- Examples of good evidence:

<p><u>Pupil Progress</u> Minutes from pupil progress meetings Data from SIMS Pupil progress profiles Record book Details of interventions Pupils' workbooks Case studies</p>
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<p><u>Quality of Teaching</u> Lesson observation feedback Learning walk outcomes Work scrutiny feedback Pupils' workbooks Classroom displays Teaching standards</p>

<p><u>Personal/Professional</u> Monitoring outcomes e.g. planning audits, work scrutiny Training and CPD accessed Case studies Reports written Resources Changes to subject policies</p>
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February

- Meet with appraiser to review targets and look at evidence collected.
- Amend targets and action plan where necessary.

Remember: It is your responsibility to speak to your appraiser at any point of the year if there are any extenuating circumstances that may affect your appraisal (e.g. long-term absence from work, change in role at work making your targets inappropriate). They will advise you on what to do next.

March – June

- Continue to collect evidence to support your targets.

July

- Meet with your appraiser to review your targets.
- Be prepared to provide evidence to show that your targets have been met.
- Each target will then be graded and awarded points.

Unsatisfactory	1 point
Inconsistent	2 points
Achieving	3 points
Exceeding	4 points

- A total of these points will help to make the decision on the next step in the process

Fewer than 6 points	Performance judged to be inconsistent
7-8 points	Evidence will be taken for moderation by the SLT and a decision will be made as to whether performance will be judged inconsistent or achieving
9 points	Performance judged to be achieving
10-11 points	Evidence will be taken for moderation by the SLT and a decision will be made as to whether performance will be judged achieving or exceeding
12 points	Performance judged to be exceeding

- When an overall judgement has been made, a decision will be made about pay.

Unsatisfactory	There will be no pay award and this may mean a pay review recommendation will be submitted to the governing body pay committee.
Inconsistent	There will be no pay award and this may mean a pay review recommendation will be submitted to the governing body pay committee.
Achieving	There will be a pay award which could be equivalent to the teacher moving one point up the scale and a recommendation to go through threshold (if appropriate)
Exceeding	There will be a pay award and the teacher may be considered for an enhanced pay progression amount (this is reviewed annually depending on exceeding being maintained)

A final decision will be made by the governors on the Pay Committee as to how your performance will affect your pay for the next year. The cycle will be repeated and your pay for the following year will be dependent on your performance during that year.

If at any time you are unsure of the process, talk to your appraiser.