



**The Village Federation
of Carsington & Hopton and
Kirk Ireton Primary Schools**



TEACHER APPRAISAL POLICY

**Reflecting the 2012 changes to Appraisal
Regulations, DfE Model Policy and NASUWT/NUT
recommendations**

**Teaching Staff Consultation Period at Kirk Ireton for identical single school
policy: 7th May 2013-3rd June 2013**

**Teaching Staff Consultation Period at Carsington & Hopton for identical
single school policy: 7th May 2013-3rd June 2013**

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Please note-statutory requirements from The Education (School Teachers' Appraisal) (England) Regulations 2012 are shown in **bold** below, other recommended content either from the DfE model policy or from the Local Authority is shown in plain type and statements which our school has considered as relevant, taking account of NASUWT recommendations, are shown in *italics*.

Policy for Appraising Teacher Performance

(The Governing Body is required to adopt and make available to teachers employed at the school a document which sets out the appraisal process for such teachers.)

1. Purpose

This policy sets out the framework for a clear and consistent assessment of the overall performance of teachers, including the head teacher, and for supporting their development within the context of the school's plan for improving educational provision, performance and the standards expected of teachers. The school is committed to providing high quality professional development that supports pupils in achieving their potential. The policy is intended to reflect the principles of fairness, equity and confidentiality.

2. Application of the Policy

The policy applies to the head teacher and to all teachers employed by the school, except those on contracts of less than one term, those undergoing an induction period, in accordance with the induction arrangements for school teachers (ie Newly Qualified Teachers), and those subject to the Formal Competence Procedure. (Wherever school terms are cited in this policy, this refers to the standard 3 term school year)

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 contribute to ensuring that teachers are able to continue to improve their professional practice and to develop as teachers.

This policy is complemented by the School's Pay Policy which details arrangements relating to the determination of teachers' pay, in accordance with the School Teachers' Pay and Conditions Document (STPCD). The pay policy contains the procedure for appeals against pay decisions.

The appraisal procedure will address any concerns that are raised about a teacher's performance. If the concerns cannot be resolved through this process there will be consideration of whether to commence the formal competence procedure. This Appraisal Policy dovetails with the School's procedure for dealing with situations where a teacher's level of competence falls below expectations, as detailed in the adopted Formal Competence Procedure.

3. Appraisal

The Appraisal Period

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

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 begins employment with the school the Governing Body may determine that the initial appraisal period in respect of that teacher is shorter or longer than 12 months. Where a teacher starts their employment at the school part-way through a cycle, the

head teacher, or in the case where the teacher is the head teacher, the Governing Body shall determine the length of the first appraisal cycle, with a view to bringing the cycle into line with that for other teachers at the school as soon as possible.

Appointing Appraisers

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.

In this school the task of appraising the head teacher, including the setting of objectives, will be delegated to a sub-group consisting of three members of the Governing Body. Should one member of the sub-group be unable to attend the appraisal meeting, it may proceed with two Governors. If the Headteacher is of the opinion that one of the sub-group is unsuitable to act as his/her appraiser, he/she may write to the Chair of Governors to request that they be replaced, giving reasons. The chair will reply in writing with their decision. *Advice and support from the HR Advice and Guidance Service from DCC will be sought, in considering the request.*

Teachers

The head teacher will *normally* appraise other teachers. Where teachers have a concern about their nominated appraiser, they may write to the *Chair of Governors*, giving reasons. Where legitimate concerns are raised these will be carefully considered by *the Chair of Governors* and an alternative appraiser may be offered, if possible. It is anticipated that appraisers will be those who hold some management role in relation to the teacher, unless the Headteacher has reason to nominate another appropriate appraiser. The nominated appraiser will hold an appropriate position in the staffing structure and have the necessary, knowledge, skills and experience to undertake the role. If, for any reason, the nominated appraiser is unable to conduct the role, an appropriately experienced alternative colleague will be appointed.

Where there are concerns about a teacher's performance, and the Headteacher is not the appraiser, the Headteacher may consider undertaking the role or appoint an alternative senior member of staff, or perform the duties of appraiser themselves.

Setting Objectives

The head teacher's objectives will be set by the Governing Body sub-group after consultation with the external adviser and the Headteacher. Should agreement not be reached between the Headteacher and governors, the sub-group of governors may determine the objectives. In line with the section on representation and appeals, if the Headteacher believes the objectives are not suitable he/she should raise the matter with the Chair of Governors in writing, in the first instance.

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 and will be appropriate to the teacher's role and level of experience. In setting the objectives, appraisers will have regard to the context of the teacher and the demands of the objectives, *consistent with the school's approach to promoting staff wellbeing. All performance management/appraisal activities will take place within the teachers directed time (but not within PPA time) to ensure that it does not add to the workload of anyone involved.*

The appraiser and appraisee will seek to agree the objectives. The 'Teachers Standards' which came into effect from September 2012 will be used to inform the setting of the objectives. Objectives may be revised if circumstances change. The Headteacher will moderate the appraisal process to ensure objectives are consistent between teachers with similar experience and levels of responsibility. If agreement cannot be reached between the appraiser and appraisee, the appraiser will determine the objectives but the final decision rests with the Headteacher, through the moderation process.

The measures of success for meeting the objectives will be drawn up in discussion with the appraiser and the appraisee; these should be made clear to the teacher and recorded. *Teachers and their appraisers may identify expected sources of evidence for achievement of objectives and fulfilment of relevant standards but this will not preclude the addition of other sources of relevant information that may become available.*

The objectives set for each teacher will, if achieved, contribute to improving the education of pupils at the school and the implementation of any plan of the Governing Body designed to improve educational provision and performance. This will be ensured by the headteacher (or for the headteacher's objectives, by the sub-group with the external adviser's help) quality assuring all objectives against the school improvement plan. *The teacher's professional aspirations will be taken into account when setting objectives.*

No more than three objectives to be set for each teacher. It is recognised that some objectives incorporate greater scope and breadth than others. It is expected that objectives will reflect the range of each teacher's role, responsibilities and working time. *We recognise that a small number of challenging objectives, addressing core professional practice, are preferable to a larger number which may lead to a loss of focus.*

Appraisers will consider whether reasonable adjustments to the objectives are appropriate, in the light of an individual's circumstances, for instance where the teacher has a disability or has experienced long term absence.

Before, or as soon as practicable after, the start of each appraisal period, each teacher/headteacher will be informed of the standards against which that teacher's performance in that appraisal period will be assessed. All teachers, including headteachers who teach, must be assessed against the set of standards contained in the document called "Teachers' Standards" which came into effect from September 2012 and, where relevant, against other sets of standards published by the Secretary of State that are relevant to them. Therefore relevant teachers' performance will be considered against the Post Threshold Standards, Standards for Advanced Skills Teachers, Excellent Teachers and National Standards for Head Teachers. For QTLS holders, that may include the overarching professional standards for the lifelong learning sector, held by the Learning and Skills Improvement Service. *The Headteacher will need to inform teachers holding QTLS whether they will be assessed against the Teachers' Standards or those provided by the Learning and Skills Improvement Service.*

Observation

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, in an atmosphere of constructive engagement, collaboration and co-operation.

In this school 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. (or QTLS where appropriate)

In general, observations will be multi-purpose and provide information regarding the teacher's strengths, achievement of objectives and standards, development needs as well as contributing to the school's quality assurance processes. The school will seek to minimise the total number of occasions on which teachers are observed by using the findings of each observation for other management requirements (like subject reviews) where possible. *All foreseeable formal observations, to take place within the cycle, will be identified at the outset, so that unnecessary duplication can be avoided. Observations will not be arranged as a matter of routine but will have clear purpose, in relation to the teacher's development needs and/or the school's quality assurance programme. There will be a maximum of three observations for all purposes.*

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

It is recognised that there a variety of other sources of evidence to indicate the quality and impact of teaching in individual classes, key stages, teams, subjects and departments. The school aims to utilise a range of data, which is carefully evaluated, to identify progress, attainment and areas for improvement. Classroom observation is particularly important in identifying the specific strengths and areas for development of individual teachers. The school is committed to providing accurate feedback in order for teachers to benefit from support that is tailored to their professional development needs. The planned and focused sharing of staff's strengths, to enhance the skills of colleagues, is believed to be one of the most powerful strategies for continuing professional development, promoting a culture of collaborative reflective practice.

Feedback will be provided as soon as is reasonably possible, referenced against the Teachers' Standards (and other standards relevant to the individual) and appropriate development activities identified. *The Teachers' Standards are used to set the objectives and it is the teacher's objectives which are the focus for the appraisal review. Teachers will be assessed as meeting the Teachers' Standards unless clear compelling written evidence to the contrary is provided. Observations may also be graded using Ofsted criteria, in order for the school leadership to undertake necessary preparation for Inspection.*

Development and Support

Appraisal is a supportive process which will be used to inform continuing professional development (CPD). The school wishes to encourage a culture in which all teachers take responsibility for improving their teaching through appropriate professional development. Opportunities for professional development will be linked to school improvement priorities and to the ongoing development needs and priorities of individual teachers. *Teachers will be expected to evaluate the impact of their CPD and share their learning with colleagues, where appropriate, in line with the school's approach to CPD. Self- evaluation of performance against the Teachers' Standards and their own objectives will be facilitated.*

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 take account of the resources needed for the operation of the appraisal process, in setting the school budget annually.

Where there are competing demands on the school budget with regard to the provision of CPD, a decision on the relative priority will be informed by the extent to which:

- a) The training/support will help the school achieve its priorities*
- b) The identified CPD is essential for the appraisee to meet their objectives.*

Account will be taken at the annual review of performance of whether the support/development recorded in the planning statement has been delivered.

Feedback and In-Year Monitoring

The appraiser and teacher will confirm to each other when any piece of evidence to be cited for appraisal purposes is identified.

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.

Interim meetings may be scheduled at the commencement of the cycle where progress towards the objectives will be reviewed, consideration given to any necessary adjustments and the provision/impact of development activities evaluated. If the achievement of objectives is not on track or other significant issues, in relation to meeting the Teachers' Standards are identified, plans will be adjusted to address the situation.

Refer to section on 'teachers experiencing difficulties' for the process of dealing with concerns about potential underperformance.

Annual Assessment

Each teacher's (& headteacher'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.

This assessment is the end point to the annual appraisal process, but performance and development priorities may be reviewed and addressed throughout the year. There should be no surprises concerning the overall assessment of a teacher's performance at the annual review meeting. **The Governing Body or headteacher must,**

- a) assess the teacher's performance of their role and responsibilities during the appraisal period against,**
 - **the standards applicable to that teacher**
 - **the teacher's objectives;**
- b) assess the teacher's professional development needs and identify any action that should be taken to address them; and**
- c) where relevant, include a recommendation relating to the teacher's pay.**

The teacher will receive as soon as practicable, following the end of each appraisal period – and have the opportunity to comment in writing on - **a written appraisal report**. In this school, teachers will receive their written appraisal reports by 31 October (31 December for the head teacher). **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 training and 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 head teachers and by 31 October for other teachers);
- a space for the teacher's own comments
- (the school to add anything else their appraisal report will include)

The assessment of performance and of training and development needs will inform the planning process for the following appraisal period. It is expected that the discussion will include the utilisation and impact of training and development undertaken and any contribution the teacher has made to the development of a colleague(s). Appraisers may include reference to any significant impact in the appraisal report.

Pay Progression

Where a teacher is eligible, a recommendation on pay progression will be made by the appraiser based on the assessment of their performance against the agreed objectives and their responsibilities, the Teachers' Standards and any other relevant standards. The decision of the relevant body will be made in accordance with the statutory criteria and guidance set out in the STPCD, where applicable.

Representation and Appeals

Any recommendation on pay will be referred by the head teacher to the Finance Committee of the Governing Body. The procedure for a teacher to make representations concerning a pay decision, or to appeal, is contained in the school's Pay Policy.

If a teacher wishes to request changes, or raise concerns, about any other aspect of the appraisal process and documentation they should write to the headteacher setting out their grounds within 10 days of receiving the statement of objectives and appraisal review statement. The headteacher will, if necessary, meet with the teacher and then determine whether any action should be taken or changes made. If the headteacher is the appraiser of the teacher, the letter should be submitted to the Chair of Governors, if the teacher is unable to resolve the matter informally with the headteacher. Likewise a headteacher would write to the Chair with any concerns. The Chair of Governors may be advised by the school's Human Resources provider, when meeting with the teacher, if necessary, and reaching a decision on the representations. If the teacher (or Headteacher, if they have made representations concerning their Appraisal statement) remains unhappy they may appeal to a governors' committee, convened for the purpose. The appeal will follow the same process as detailed in the pay policy for pay appeals

4. Teachers Experiencing Difficulties

When responding to a teacher who is experiencing difficulties in meeting the requirements of their role and/or the Teachers' Standards (or other relevant standards), action will be taken to provide support and guidance, including through the appraisal process, to enable their performance to improve and meet expectations.

If an appraiser identifies through the appraisal process, or through other sources of information (eg complaints), that a teacher is experiencing difficulties such that, if not rectified, there will be detriment to the educational provision delivered to pupils and/or the formal competence procedure may be implemented, the appraiser will inform the Headteacher, who will decide whether to appoint a new appraiser.

If a teacher's performance is causing serious concern, a meeting with the teacher will be called to consider the evidence of serious concern. An appropriate period of support will be provided, at the end of which will be a further meeting to review progress at this informal stage.

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

- give clear feedback to the teacher about the nature and seriousness of the concerns;
- give the teacher the opportunity to comment and discuss the concerns;
- make mutually suitable arrangements, or give 5 working days' notice, to meet the teacher to discuss targets for improvement and any support (eg coaching, mentoring, structured observations), that will be provided to help address those specific concerns;
- in consultation with the teacher at the above meeting, establish an action plan with clear expectations, success criteria and support to be provided;
- make clear in the plan how, and by when, the appraiser will review progress. *It may be decided to revise objectives, and it will be necessary to define sufficient time for the necessary improvement (the amount of time will reflect the nature of the improvement required and the seriousness of the concerns);*
- explain the implications and process if no – or insufficient – improvement is made.

The teacher's progress will continue to be monitored as part of the appraisal process and as detailed in the plan. The provision of the support will also be monitored. During this period the teacher will be given feedback on progress and arrangements will be made to adjust the programme if there is good reason to do so. The period identified for the teacher's performance to improve and meet the standards needs to be reasonable and will depend on the circumstances.

When progress is reviewed at the conclusion of the period identified, 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. The teacher should be informed at the formal review meeting that no longer is there consideration of invoking the formal competence procedure.

Transition to Competence Procedure

If the appraiser is not satisfied with progress, the teacher will be notified in writing that a meeting to determine whether the formal competence procedure needs to be applied. They will be informed that if this decision is taken then the appraisal system will no longer apply and that

their performance will be managed under the competence procedure. *The appraiser will consult with the head teacher when contemplating this action.*

Refer to Formal Competence Procedure for further details of conducting the formal meeting to consider application of the procedure. The teacher will receive at least 5 working days' notice of the meeting and may be assisted by a trade union representative or work colleague. The headteacher will consider whether to appoint another appropriate appraiser, in the circumstances, if not already performing the role themselves.

5. Monitoring and Evaluation of the Process & Policy

The Appraisal process will be treated with confidentiality. The Appraisal Report is confidential to the Headteacher, appraiser and appraisee. However, the desire for confidentiality does not override the need for Quality Assurance of the operation and effectiveness of the appraisal system. The head teacher may review all teachers' objectives and appraisal records in order to check consistency of approach and expectation between different appraisers and to ensure that they comply with the policy. The Headteacher also needs to be aware of any pay recommendations that they have made in order to refer these to the pay committee.

The head teacher will make arrangements for the details of training and development needs to be communicated to anyone with responsibility in the school for the delivery of continuous professional development.

The Governing Body will monitor and evaluate the policy.

The Headteacher will provide the Governing Body with a written report on the operation of the school's appraisal policy annually. The report will not identify any individual by name. The report will include an assessment of any potential impact of the policy on employees with regard to the following characteristics:

- *Race*
- *Sex*
- *Sexual Orientation*
- *Disability*
- *Religion & Beliefs*
- *Age*
- *Part-time Status*
- *Maternity and Pregnancy*

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

The report will include an assessment of the impact of appraisal on school improvement and details of the range of professional development delivered through the process. The Headteacher will make the Governing Body aware of any significant incidence of teachers not being provided with CPD, which was identified as necessary to the delivery of their objectives.

6. General Principles Underlying This policy

Confidentiality

The appraisal and formal competence processes will be treated with confidentiality. 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.

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.

Definitions

Unless indicated otherwise, all references to “teacher” include the head teacher.

Delegation

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

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.

Search using the ref: DfE v1.0 13/01/2012

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