

	POLICY TITLE:	Teacher Appraisal Policy
Kingsmead Academy T/A Kingsmead School		
Committee/Person Responsible for Policy:		Head Teacher Finance, Strategy & Personnel sub-committee
Date Approved by Governing Body:		August 2020
Date of Last Review:		Term 6 – 2019/20
Next Review Due:		Term 6 – 2021/22

The policy closely follows the joint NUT and NASUWT model for appraising teacher performance.

This policy is based on the core values of Kingsmead School.

CARE

Professional development is a key part of the policy.

RESPECT

Every teacher can expect a thoughtful and considerate appraisal of their work.

ASPIRATION AND DETERMINATION

This policy is part of the school's determination to have high aspirations for teachers and students.

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 professional and personal development within the context of the school's plan for improving educational provision and performance, and the professional standards expected of teachers. It also provides the basis for an assessment of a teacher's performance and a recommendation to inform a decision by the Governing Body's Pay Committee about pay progression.

The appraisal procedure will be used also to address any concerns that are raised about a teacher's performance. If concerns are such that they cannot be resolved through the appraisal process, there will be consideration of whether to commence the separate capability procedure.

APPLICATION OF THE APPRAISAL POLICY

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 formal capability procedures

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.

THE APPRAISAL PERIOD

The appraisal period will run for twelve months normally from 1 September to 31 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 starts their employment at the school part-way through a cycle, the head teacher or, in the case where the employee is the head teacher, the governing body shall determine the length of the first cycle for that teacher, with a view to bringing his/her cycle into line with the cycle for other teachers as soon as possible.

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

APPOINTING APPRAISERS

All appraisers of teachers, other than those appraising head teachers, will be qualified teachers suitably trained in the appraisal process.

Head Teacher

The head teacher will be appraised by the Governing Body. The Governing Body will appoint an external adviser to provide advice and support in relation to the management and review of the performance of the head teacher. The external adviser will have a proven expertise in performance management of head teachers and will have no 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 normally consisting of 3 members of the Governing Body, known as the Pay Review Committee.

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

Teachers

The head teacher will choose the appraiser for each teacher. Where teachers have an objection to the head teacher's choice, their concerns will be carefully considered and, where appropriate 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.

Due regard must be paid to the workload of appraisers when decisions about the choice of appraisers for teachers are made. Appropriate working time must be made available for appraisers to carry out their role, whatever the number of appraisees.

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

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

SETTING OBJECTIVES

The head teacher's objectives will be set by the Pay Review Committee of the Governing Body after consultation with the external adviser and the head teacher.

Objectives for each teacher will be set before, or as soon as practicable after, the start of each appraisal period. The objectives set will be Specific, Measurable¹, Achievable, Realistic and Time-bound and will be appropriate to the context of the appraisee's work and their role and level of experience. In setting the objectives, appraisers 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.

Objectives will be recorded in the Appraisal Planning Statement. 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 will operate a system of moderation to ensure that all appraisers are working to the same standards. Targets will be moderated across the school to ensure that they are consistent between teachers with similar experience and levels of responsibility. Should the objectives not be agreed, the final decision on allocation of objectives rests with the head teacher.

The agreed objectives will contain a description of what success may look like. Where use of numerical targets is appropriate, these will be reasonable, in the circumstances in which the teacher works and it will be recognised that factors outside teachers' control may significantly affect success.

Setting more than three objectives, or using sub-targets, can lead to teachers experiencing unreasonable workload and pressure, making the objectives more difficult to achieve. Therefore, other than in exceptional circumstances, no teacher will be given more than three objectives.

The objectives set for each teacher are intended to contribute to the school's plans, including Department learning plans, When staff return from a period of extended absence, objectives may be adjusted to allow them to readjust to their working environment.

At Kingsmead, the three objectives agreed will be based around the following headings:

1. A 'Student Progress' Objective.
2. A 'Teaching and Learning' Objective.
3. A 'Leadership and Management' and/or 'Professional Development' Objective.

¹ Where an objective is measurable due regard should be paid to the reasonableness of any numerical targets identified.

Some or all of these may be set for all teachers.

RELEVANT PROFESSIONAL STANDARDS

Before, or as soon as practicable after, the start of each appraisal period each teacher will be informed of the professional standards against which that teacher's performance in that appraisal period will be assessed. Teachers will be assessed against the standards contained in the document "Teachers' Standards" published in July 2011³(updated 2013) The head teacher 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 or other body that are relevant to them. For those with Qualified Teacher Status (QTS) consideration should be given to the use of the existing Framework of Professional Standards for Post-Threshold Teachers² as appropriate, or of any future replacement set of standards approved by the Secretary of State³. For Qualified Teacher Learning and Skills (QTLS) holders, that may include the overarching professional standards for teachers in the lifelong learning sector, held by the Institute for Learning. The standards against which the teacher will be assessed in the appraisal period will be recorded in the Appraisal Planning and Review Statement.

REVIEWING PERFORMANCE

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 self-evaluation and improvement more generally.

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 for appraisal purposes will be carried out by those with QTS.

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

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

The arrangements for classroom observation will be agreed between appraiser and appraisee in advance; will be included in the Appraisal Planning Statement at the start of the 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 during the performance management cycle the observation will take place and who will conduct the observation.

For the purposes of appraisal, teachers' performance will be observed on an appropriate and reasonable number of occasions and will, as far as possible, be agreed by the appraiser with the appraisee based on the individual circumstances of the teacher and the overall needs of

2 The Framework of Professional Standards for Post-Threshold Teachers, Excellent Teachers and Advanced Skills Teachers is set out in Annex 1 of Section 2 of the School Teachers' Pay and Conditions Document 2011

3 The current Framework may be replaced in due course by the proposed Master Teacher standards;

the school. The number and duration of appraisal observations will be in accordance with the school's Classroom Observation and Visits Protocol (attached as Appendix 1 to this policy), which includes provision for exceptional circumstances where concerns have been raised about a teacher's performance, or where the teacher requests additional observation visits.

The appraisee will be given verbal feedback at least by the end of the next school day and written feedback within 5 working days, unless circumstances make this impossible. For the purpose of professional development, feedback about lesson observations should be developmental, in line with the school's classroom observation and visits protocol.

Head teachers or other leaders with responsibility for learning and teaching standards may also visit classrooms in order to fulfil their school leadership responsibilities. A distinction needs to be made between observation for the purposes of the formal Appraisal process, and school managers' general responsibility to know their school, the staff and the children and support good practice. The length and frequency of visits to classrooms and the notice to be given will vary depending on specific circumstances but will be in accordance with the school's classroom observation and visits protocol.

The school may use the findings of each classroom visit and observation, including appraisal observations, for other management purposes (for example subject area reviews), thereby seeking to keep the total number of occasions on which teachers are observed to reasonable levels⁴.

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

Where a teacher is experiencing difficulties, see the section on Teachers Experiencing Difficulties (below).

Development and Support

Appraisal is a supportive process, which will be used to inform continuing professional development. The school wishes to encourage a culture in which all teachers take responsibility for improving their teaching through appropriate professional development, 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.

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.

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.

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

⁴ Likewise any findings from classroom visits by school leaders that might be relevant to and supportive of a teacher's professional development should be fed back to appraiser and appraisee as soon as possible after the classroom visit has taken place, to inform the appraisal process.

b) the CPD identified is essential for an appraisee to meet their objectives.

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.

Where a teacher is experiencing difficulties, see the section on Teachers Experiencing Difficulties (below).

Feedback

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 (see section on **Observation** above). Feedback will highlight particular areas of strength as well as any areas that need development and will:

- give clear feedback to the teacher;
- 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 developmental needs.

Where a teacher is experiencing difficulties, see the section on Teachers Experiencing Difficulties (below).

ANNUAL ASSESSMENT

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

At the end of the cycle, assessment of performance against an objective will be on the basis of the 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 favourably.

The performance management cycle is annual, but on occasions it may be appropriate to set objectives that will cover a period over more than one cycle. In such cases, the basis on which the progress being made towards meeting the performance criteria for the objective will be assessed at the end of the first cycle and will be recorded in the planning and review statement at the beginning of the cycle.

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 Annual Appraisal Review Statement will include:

- details of the teacher's objectives for the appraisal period in question;
- an assessment of the teacher's performance of their role and responsibilities against their objectives, and against the relevant standards;
- an assessment of the teacher's training and development needs and identification of any action that should be taken to address them;
- a recommendation on pay 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**);
- a space for the teacher's own comments.

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

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

Where a teacher is experiencing difficulties, see the section on Teachers Experiencing Difficulties (below).

PAY PROGRESSION

Where teachers are eligible for pay progression, the recommendation made by the appraiser will be based on the assessment of the teacher's performance against their appraisal objectives, having regard to any specific and significant contextual circumstances which might have impacted upon performance⁵ and against the relevant professional standards (see section on **Appointing Appraisers – Teachers** and footnotes, above, for detail of professional standards applicable to teachers). The decision made by the relevant decision-making body will be based on the statutory criteria and guidance set out in the School Teachers' Pay and Conditions Document (STPCD)⁶ and the relevant teacher standards.

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 other teachers.

APPEALS

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

TEACHERS EXPERIENCING DIFFICULTIES

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

Where it is apparent that a teacher's personal circumstances are leading to difficulties at school, support will be offered as soon as possible, without waiting for the formal annual assessment. In such circumstances advice and support from Human Resources should be sought and the teacher should be advised to seek support from their union representative.

If an appraiser identifies through the appraisal process, or via other sources of information, for example verifiable parental concerns, that the difficulties experienced by a teacher are such

⁵ For example, a sudden in-year influx of children whose first language is not English

⁶ This will apply to all teachers in maintained schools and those teachers in academies who remain subject to the provisions of the School Teachers' Pay and Conditions Document

that, if not rectified, could lead to capability procedures the appraiser, the head teacher, or a member of the leadership team, will, as part of the appraisal process meet the teacher to:

- give clear written feedback to the teacher about the nature and seriousness of the concerns;
- give the teacher the opportunity to comment on and discuss the concerns;
- give the teacher at least 5 working days' notice that a meeting will be held to discuss targets for improvement alongside a programme of support, and inform the teacher that he/she has the right to be assisted by a representative of an independent trade union or workplace colleague, and at any future meetings where capability will be discussed;
- in consultation with the teacher at the above meeting, an action plan with support will be established (for example coaching, training, in-class support, mentoring, structured observations, visits to other classes or schools or discussions with advisory teachers), that will help address those specific concerns;
- make clear how progress will be monitored and when it will be reviewed;
- 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 a reasonable time given for the teacher's performance to improve. This will depend upon the circumstances, but will be for a specified period of time, for example half a term, with appropriate support as agreed in the Action Plan, in order that the aim of recovering and improving performance can be achieved. During this monitoring period the teacher will be given regular feedback on progress and arrangements will be made to modify the support programme if appropriate.

If sufficient progress is made such that the teacher is performing at a level that indicates there is no longer a possibility of capability procedures being invoked the teacher should be informed of this at a formal meeting with the appraiser or head teacher. Following this meeting the appraisal process will continue as normal.

If no, or insufficient, improvement has been made over this period, the teacher will be invited to a transition meeting to determine whether formal capability proceedings need to be commenced or the appraisal process remains in place. The teacher may be assisted by a trade union representative or work colleague and will have at least 5 working days' notice of the meeting.

GENERAL PRINCIPLES UNDERLYING THIS POLICY

ACAS Code of Practice on Disciplinary and Grievance Procedures

In the first instance, issues relating to teacher performance will be managed through the arrangements for Teachers Experiencing Difficulties set out within this policy. The conduct of any subsequent formal capability process will be undertaken outside the Appraisal process under the separate Capability Procedure and in accordance with the provisions of the ACAS Code of Practice.

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.

Sickness

If long term sickness absence appears to have been triggered by the commencement of monitoring or application of the formal capability procedure, 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 or formal procedures. In some cases it may be appropriate for formal procedures to continue during a period of sickness absence. However, the views of the occupational health physician will always be taken into account before a decision is reached.

Grievances

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

Confidentiality & Professional Relationships

The appraisal and capability processes 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.

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 reviewee before seeking information from other colleagues about the work of the reviewee.

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 might also wish to be aware of any pay recommendations that have been made.

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 school's/academy's appraisal and capability policies annually. The report will not identify any individual by name.⁷

The report will include an assessment of the impact of these policies on:

- Race
- Sex
- Sexual Orientation
- Disability
- Religion and Beliefs
- Age
- Part-time Status

⁷ Particular care will need to be taken, especially in smaller schools, to ensure that by reporting on the operation of the policy with reference to protected characteristics the report does not inadvertently identify individual employees.

- 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.

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.

CLASSROOM OBSERVATION PROTOCOL

The Governing Body and SLT are committed to ensuring that classroom observation for appraisal purposes is developmental and supportive and that those involved in the process will:

- carry out the role with professionalism, integrity, care and respect;
- evaluate objectively;
- report accurately and fairly;
- respect the confidentiality of the information gained.

Classroom observation for appraisal purposes

The amount of classroom observation arranged for any teacher for appraisal purposes will be proportionate to need, having regard to the individual circumstances of the teacher and the needs of the school, but will not be excessive.

‘Proportionate to need’ means it will take place on an appropriate and reasonable number of occasions agreed, as far as possible, by the appraiser with the appraisee, based on the individual circumstances of the teacher and the overall needs of the school.

In this school ‘proportionate to need’ and ‘the overall needs of the school’ are determined by the Governing Body on the advice of the Headteacher and in consultation with staff.

The arrangements for classroom observation for appraisal purposes will be included in the annual appraisal planning and review statement and will include the amount of observation, specify its primary purpose, any particular aspects of the teacher’s performance which will be assessed and when during the performance management cycle the observation will take place and who will conduct the observation.

Where evidence emerges about the appraisee’s teaching performance which gives rise to concern during the appraisal cycle, classroom observations may be arranged in addition to those recorded at the beginning of the cycle, subject to determination at a meeting between appraiser, appraisee and headteacher or member of the school leadership team with a view to addressing any such concern.

Although such classroom observation is undertaken for appraisal purpose, other 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 in accordance with the school’s commitment to streamlining data collection and minimising bureaucracy and workload burdens on staff.

In keeping with the commitment to supportive and developmental classroom observation, observations will be agreed between appraiser and appraisee in advance and be included in the appraisal planning statement.

Classroom observations for appraisal purposes will only be undertaken by persons with QTS. In addition, in this school such classroom observation will only be undertaken by teachers informed by the school’s published appraisal policy on how to prepare for and conduct observations, and on how to give constructive supportive feedback in the context of professional dialogue between colleagues.

Verbal feedback will be given as soon as possible after the observation and by at least the end of the next school day following the observation taking place. 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 will be taken by the appraiser or the issues will be referred to the appropriate member of the school leadership team to determine appropriate action in consultation with the appraiser and appraisee.

The written record of feedback includes 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 written notes in addition to the written feedback will be kept.

At least one observation per year will be formal in nature and based upon the appraisal objectives. Others may be less formal and more developmental in nature, e.g. peer to peer observations.

Other classroom visits by school leaders

In this school, the head teacher will seek to discharge his/her responsibility for monitoring the quality of teaching and learning and other leadership responsibilities through the planned classroom observations for appraisal purposes. However, the headteacher (and other designated school leaders) may undertake other classroom visits in order to fulfil their school leadership responsibilities. In this school such classroom visits will be carried out by:

Option 1

The Headteacher; OR

Option 2

A member of the SLT (including Associates). Heads of Department are expected to conduct learning walks around their subject area(s)

NB: SLT may invite staff who are not teaching to accompany them on learning walks. These are non-judgmental and are intended to be developmental for SLT and staff accompanying them.

These classroom visits will only inform the appraisal process where concerns arise which merit the revision of the appraisal planning statement. If such concerns arise the school leader concerned will meet with the appraiser and appraisee to discuss them and agree any revision to the appraisal planning statement.