



APPRAISAL

Introduction

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.

The Appraisal Regulations do not apply to teachers and headteachers in academies. However, it is good practice for all schools to have a system for managing the performance of its staff and it is suggested that academies also adopt this model policy.

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. They retain the key elements of the 2006 Regulations but allow schools more freedom to design arrangements to suit their own individual circumstances. They provide the minimum national framework within which schools should operate.

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).

Schools and local authorities must have an appraisal policy for teachers and a policy, covering all staff, which deals with lack of capability. Frank Wise School has chosen to continue to provide annual appraisal for classroom and administrative support staff as well as for teaching staff.

The model Appraisal Policy has been developed from the model published by the Department for Education. It includes additional details where it is considered that these are helpful to the operation of an effective procedure. The Oxfordshire model policy has been drawn up following consultation with all the recognised Trade Unions and Associations.

In this school, teachers, including the headteacher, undergo appraisal during the Autumn, and classroom and administrative support staff during the Spring.

General principles underlying this policy

The role of the Local Authority

Throughout this procedure the Director for Children, Education & Families will discharge his/her responsibilities through the Schools' Human Resources Team, referred to in this document as 'the Schools' HR Team'.

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 headteacher.

Delegation

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

Monitoring and Evaluation

The governing body and headteacher will monitor the operation and effectiveness of the school's appraisal arrangements. An annual report on the system will be produced and shared with the governors' Personnel sub-committee and with the full governing body following that meeting.

Purpose

This policy sets out the framework for a clear and consistent assessment of the overall performance of staff, including teachers and the headteacher, and for supporting their development within the context of the school's plan for improving educational provision and performance, and the standards expected of all staff.

Where teachers are eligible for pay progression, the assessment of performance through the appraisal procedure will be the basis on which a recommendation is made.

The appraisal procedure will be used also to address any concerns that are raised about a member of staff's performance. If the concerns cannot be resolved through the appraisal process performance will be managed under the Professional Capability Procedure.

Application of the appraisal procedure

This procedure applies to the headteacher and to all teachers and classroom and administrative staff employed by the school or local authority, except those on contracts of less than one standard term, Midday Carers, those undergoing induction (i.e. Newly Qualified Teachers), those on an Initial Teacher Training course and those who are subject to formal capability procedures.

Appraisal in this school will be a supportive and developmental process designed to ensure that all staff have the skills and support they need to carry out their role effectively. It will help to ensure that staff are able to continue to improve their professional practice and to develop as members of the school community.

The appraisal period

The appraisal period will run for twelve months 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 appraisal period will be determined by the duration of their contract.

Teachers who start their employment part-way through the appraisal cycle will have their performance managed over a longer or shorter appraisal period as the headteacher determines most appropriate, with the aim of bringing their cycle into line with the cycle for all other teachers as soon as possible.

If a teacher transfers to a new post within the school part-way through the appraisal cycle, or if a centrally employed teacher changes post within the authority, the headteacher will consider whether it is appropriate to continue with the current cycle and/or to revise the objectives in line with the new post.

Appointing appraisers

For the Headteacher

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.

In this school the task of appraising the headteacher, including the setting of objectives, will be delegated to an appraisal sub-group consisting of two or three¹ members of the Governing Body.

Where a headteacher is of the opinion that a governor is unsuitable to act as his/her appraiser, he/she may submit a written request to the Chair of Governors for that governor to be replaced, stating the reasons for the request.

For Teachers

The headteacher will decide who will appraise other teachers. Where the headteacher decides to delegate appraisal to line managers, this will include all aspects of the process.

The headteacher will normally be the appraiser for those teachers she/he directly line manages and the relevant line manager will be the appraiser for those teachers who they line manage.

Where a teacher has more than one line manager the headteacher will decide which line manager is best placed to be the appraiser.

¹ It is recommended that three governors should normally be appointed.

Where a teacher is of the opinion that the person appointed is unsuitable to act as his/her appraiser, he/she may submit a written request to the headteacher for the appraiser to be replaced, stating the reasons for the request.

All appraisers will receive appropriate training and guidance in these procedures. This will be achieved through a cycle of training workshops provided for teachers (including SLT) and for other staff taking the role of appraiser. The workshops will be evidenced in the annual Inset programme.

For Classroom and Administrative Support Staff

The headteacher will decide who will appraise other staff. Where the headteacher decides to delegate appraisal to line managers, this will include all aspects of the process.

The relevant line manager will be the appraiser for those staff who they line manage.

Where a member of staff has more than one line manager the headteacher will decide which line manager is best placed to be the appraiser.

Where a member of staff is of the opinion that the person appointed is unsuitable to act as his/her appraiser, he/she may submit a written request to the headteacher for the appraiser to be replaced, stating the reasons for the request.

All appraisers will receive appropriate training and guidance in these procedures. This will be achieved through a cycle of training workshops provided for teachers (including SLT) and for other staff taking the role of appraiser. The workshops will be evidenced in the annual Inset programme.

Setting objectives

For the Headteacher

Before, or as soon as practicable after the start of each appraisal period, the Governing Body must inform the headteacher of the standards against which his/her performance will be assessed and set objectives for that period.

The headteacher's objectives will be set by the appraisal sub-group of the Governing Body after consultation with the external adviser.

The appraisal sub-group and the headteacher will seek to agree the objectives but, if that is not possible, the appraisers will determine the objectives. Objectives may be revised if circumstances change.

For Teachers

Before, or as soon as practicable after the start of each appraisal period, the headteacher must inform each teacher of the standards against which their performance will be assessed and ensure that objectives are set for that appraisal period.

All teachers must be assessed against the *Teachers' Standards* published in July 2011. The *Teachers' Standards* can be found on the DfE website. In this school all teachers will also be assessed against the FWS Teachers' Standards, as agreed in consultation with staff.

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, for example Advanced Skills and Excellent Teachers.

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 objectives, the appraiser 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.

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. The objectives should also support teachers' professional development.

In this school, all teachers, including the headteacher, will normally have no more than three objectives.

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.

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

For Classroom and Administrative Support Staff

Before, or as soon as practicable after the start of each appraisal period, the line manager must inform each member of staff of the standards against which their performance will be assessed and ensure that objectives are set for that appraisal period.

All classroom and administrative support staff must be assessed against the FWS Staff Standards, as agreed in consultation with staff.

Objectives for each member of staff will be set before, or as soon as practicable after, the start of each appraisal period. The objectives set for each member of staff, will be Specific, Measurable, Achievable, Realistic and Time-bound and will be appropriate to their role and level of experience. In setting objectives, the appraiser 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.

The objectives set for each member of staff 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. The objectives should also support individuals' professional development.

In this school, staff will normally have no more than three objectives.

The appraiser and member of staff 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.

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

Pay progression

Where teachers are eligible for pay progression, the recommendation made by the appraiser will be based on the assessment of their performance against the relevant teacher standards and their agreed objectives. 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). (NB – pay recommendations for teachers must be made by 31 October and for the headteacher by 31 December).

Reviewing performance

Observation

This school believes that observation of classroom practice and other responsibilities is important both as a way of assessing members of staff's 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.

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. All observation will be carried out in a supportive fashion and in line with the school's Classroom Observation Protocol.

Classroom observation for the purpose of teacher appraisal will only be carried out by those with Qualified Teacher Status (QTS).

In addition to formal observation for the purposes of appraisal, headteachers or other leaders with responsibility for teaching standards may "drop in" in order to evaluate the 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 carried out in line with the school's Classroom Observation Protocol.

Staff, (including teachers and the headteacher) who have responsibilities outside the classroom should also expect to have their performance of those responsibilities observed and assessed.

Feedback

Staff 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.

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. 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 continuing development (CPD) programme will be informed by the professional development needs identified as part of the appraisal process. The Governing Body will ensure that, as far as possible, resources are made available in the school budget for appropriate training and support agreed through the appraisal process.

Assessment

Each member of staff'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.

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 will take place at least once during the year.

As soon as practicable following the end of each appraisal period the member of staff will receive a written appraisal report and will have the opportunity to comment in writing on it. In this school, teachers will receive their written appraisal reports by 31 October (31 December for the headteacher) and before the end of the Spring term for classroom and administrative support staff. The appraisal report will include:

- details of the member of staff's objectives for the period in question;
- an assessment of their performance in their role and responsibilities against the relevant standards. Where the standards are being met detailed written evidence will not normally be required. However, if there are concerns that standards are not being met these should be capable of being evidenced;
- an assessment of their performance in their role and responsibilities against their objectives;
- an assessment of their professional development needs and identification of any action that should be taken to address them;
- a recommendation on pay where that is relevant;
- a space for the member of staff's comments.

A review meeting will take place to discuss the content of the written appraisal report and any action required, and to inform objective setting for the next cycle. The assessment of performance and of professional development needs will inform the planning process for the following appraisal period.

Appeals

Teachers have a right of appeal against any of the entries in their written appraisal report. If a teacher feels that an entry is wrong or unjust, they may appeal in writing within five working days of receiving their written appraisal report, setting out at the same time the grounds for appeal. Where a teacher wishes to appeal on the basis of more than one entry this would constitute one appeal hearing.

If the reason for appeal is associated with a decision on pay progression the appeal process in the Pay Policy should be followed.

In all other cases the appeal will be considered by a senior manager and a governor of the appeals sub-committee who has not been previously involved with the case. Appeals will be heard without unreasonable delay and, where possible, at an agreed time and place. The teacher will be given at least five working days' notice of the date of the hearing and has the right to be accompanied by a trade union representative or a work colleague. Notes will be taken and a copy sent to the employee.

Appeals should normally be restricted to considering the reasonableness of the decision made, any relevant new evidence or any procedural irregularities.

The employee will be informed in writing of the results of the appeal hearing within three working days of the date of the hearing. The decision of the appeal will be final and binding on all parties.

Confidentiality

The appraisal process and the written appraisal report 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. In this school an anonymised summary report on appraisal is presented to the governors Personnel sub-committee annually.

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.

Concerns about a member of staff's performance

Where there are concerns about any aspects of a member of staff's performance at any time during the year, the appraiser will, as part of the appraisal process, meet the member of staff to:

- give clear feedback to them about the nature and seriousness of the concerns;
- give them the opportunity to comment on and discuss the concerns;
- agree any support (e.g. coaching, mentoring, structured observations), that will be provided to 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 member of staff should be advised, in advance, of the nature and purpose of the meeting and given the opportunity to bring a union representative or work colleague to the meeting, if they wish.

Notes will be taken of the meeting and a copy given to the member of staff within three working days of the meeting.

The member of staff's progress will continue to be monitored as part of the appraisal process. It may be appropriate to revise objectives. It will be necessary to allow sufficient time for improvement, this will depend on the circumstances but will normally be for a period of not less than four to six working weeks.²

When progress is reviewed, if the appraiser is satisfied that the member of staff 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.

If the appraiser is not satisfied with progress, the member of staff will be notified in writing that the appraisal system will no longer apply and that their performance will be managed under the Capability Policy. He/she will be invited to a formal capability meeting.

Further advice and support is available from the Schools' HR team by telephone: 01865 797588 or by email: schoolshr@oxfordshire.gov.uk

Other relevant policies and procedures

Staff Development Policy

Professional Capability Procedure

Pay Policy

Performance Management Guidance for School Support Staff

² It is for the person conducting the meeting to determine the set period which should be between four and ten working weeks. It should be reasonable and proportionate and should provide sufficient opportunity for an improvement to take place.

Frequently Asked Questions

What happens if the appraiser is likely to be absent for the majority of the appraisal cycle?

If it becomes apparent that the appraiser will be absent for the majority of the appraisal cycle the headteacher will appoint another appraiser or he/she can decide to carry out the appraisal him/herself.

What happens if the member of staff is absent for the majority of the appraisal cycle?

If it becomes apparent that the member of staff will be absent for the majority of the appraisal cycle the effect of the period of absence will need to be taken into account.

If the absence is anticipated in advance, for example if the member of staff will be on maternity leave, the objectives should be revised. If the absence is due to sickness the agreed objectives may be revised when the member of staff returns to work or the length and impact of the absence on the person's ability to achieve his/her objectives will be taken into account in the assessment at the end of the cycle.

In either case, the principle is that the extent to which the member of staff can achieve his/her objectives must be proportionate to the time spent at work during the appraisal cycle.

Reviewed by: Lara Hughes

Date: September 2014

Approved by Governors:

Date: 22nd October 2014

Appendix - Classroom Observation Protocol

Introduction

The governing body is committed to ensuring that classroom observation is developmental and supportive and that those involved in the process will:

- carry out the role with professionalism, integrity and courtesy
- seek to reach agreement in advance on how observations are to be carried out
- evaluate objectively
- report accurately and fairly
- respect the confidentiality of the information gained

Headteachers have a duty under the School Teachers' Pay and Conditions Document (STPCD) to *lead, manage and develop the school workforce, including appraising and managing performance*. Classroom observation is essential for appraisal and for evaluating standards of teaching and learning.

Classroom observation may take several forms, as indicated below.

Planning for observation

In this school teachers' performance will be regularly observed but the amount and type of classroom observation will depend upon the individual circumstances of the teacher and the overall needs of the school. The amount of observation for each teacher should reflect and be proportionate to the needs of the individual, taking into account factors such as their appraisal objectives and whether the teacher works part or full time.

The Headteacher will consult teachers on the number, pattern and types of observation that they can expect during the year and ensure that they receive reasonable notice of observations. As far as possible, formal classroom observations will take place at a time agreed between the teacher and the observer.

Information gathered during classroom observations 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 all staff.

The arrangements for classroom observation for appraisal will be included in the discussion of objectives and will include the amount of observation and its focus, the duration of the observation, when during the appraisal cycle the observation will take place and who will conduct the observation.

Where there are concerns about a teacher's performance additional classroom observations may be arranged. These will be discussed and agreed in a meeting between the appraiser and the teacher, as described in the main Appraisal Policy above.

General observations

Classroom observations for appraisal of teachers will only be undertaken by persons with qualified teacher status (QTS). In addition, classroom observation will only be undertaken by those who have had adequate preparation and possess the appropriate professional skills to undertake observation and to provide constructive oral and written feedback and support, in the context of professional dialogue between colleagues.

Feedback and records

Oral feedback will be given as soon as possible after an observation and no later than the end of the following working day. 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 emerge from an observation that were not part of the planned focus of the observation these should also be covered in the written feedback and appropriate action discussed with the teacher.

The written record of feedback will include the date on which the observation took place, the lesson observed and the length of the observation. The teacher has the right to append written comments on the feedback document. No further notes will be kept.

Ofsted style grades are not in themselves a part of the appraisal process and should not feed into the assessment of a teacher's performance. However, a school may choose to use Ofsted grades to inform their evaluation of the standards of teaching and learning in the school.

Observations with a specific focus

In addition to formal classroom observations, the headteacher or other leaders with responsibility for teaching standards may "drop in" on lessons to maintain good contact with pupils and students across the school, as well as to evaluate the standards of teaching and to check that high standards of professional performance are established and maintained. Where a teacher, subject leader or member of the SLT request it, a formal lesson observation may take a specific focus rather than being of the more typical general type. Template documents for both styles of lesson observation are available on the school's server.

Evidence from drop-ins and learning walks should not be used in the assessment of an individual teacher's performance unless this has been agreed as evidence in the appraisal process.

The duration, frequency and scope of drop-ins and learning walks should be considered carefully. They should have a clear rationale and focus which should be communicated to teachers.

If a member of support staff wishes to be observed to support their appraisal this can be requested via their line manager, who would normally, but not always, be the person undertaking the observation.

Code of Practice for Lesson Observations

- Observations of teachers will only be undertaken by persons with QTS.
- Those being observed will be notified in advance and the duration will be known beforehand.
- The focus of observation will be clear. A copy of the lesson plan will be available.
- The observer will not take part in the lesson, and will not intervene unless a child is at risk. (This is dependent on the focus of the observation and participation may have been agreed.)
- Feedback will take place promptly and will be constructive and supportive in nature.
- Verbal feedback will be given within 24 hours and written feedback within 5 days. It will take the form of professional dialogue between colleagues. Notes will be shared with the teacher using the FWS Lesson Observation Form. No additional notes will be kept.
- Any professional development needs which arise from the monitoring process will be addressed as soon as possible.
- The process must be manageable and not require additional preparation by the class teacher.
- Classroom observations are a high priority in improving standards and will not be postponed unless it is wholly unavoidable.

Peer observation

Teachers should have the opportunity to engage in classroom observation with other professional colleagues through peer observation in order to review and develop their practice. Professional development through peer observation is voluntary.

Newly Qualified Teachers (NQTs) and Trainee Teachers

Observations are an important part of the statutory induction process and support for newly qualified teachers (NQTs) and for those undergoing Initial Teacher Training (ITT). The general principles set out above apply equally to both, in particular reasonable notice of observations and the provision of feedback.

Professional capability procedures

Classroom observation may be used as part of a programme of structured support for teachers or other staff who are subject to formal capability procedures and to provide evidence of their progress. The amount and focus of observation will be discussed with the member of staff.