



Teacher Appraisal Policy

This school is committed to safeguarding and promoting the welfare of children and young people and expects all staff and volunteers to share this commitment

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Chair of Governors:	
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CONTENTS

1. Policy	3
2. Appraisal process	5
3. Flow-chart	9
4. Management guidance	10

APPRAISAL POLICY AND PROCESS

The Governing Body of Uffculme School will ensure that the Government's Appraisal Regulations are implemented in this school in accordance with the principles set out in the following policy statement and appraisal process and having regard to the guidance issued by the local authority from time to time.

1 Purpose and commitment

- 1.1 The governing body accepts that the purpose of appraisal is to provide a clear and consistent assessment of the overall performance of teachers, including 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 teachers.
- 1.2 The Governors are committed to ensuring high quality and supportive performance appraisal aligned to their aims and objectives for the school and linked where appropriate to other policies and procedures and their duties under equality legislation.

2 Principles

- 2.1 Appraisal in this school should be a supportive and developmental process, designed to ensure that all teachers have the skills and support they need to perform their roles and responsibilities effectively. It should help to ensure that teachers are able to continue to improve their professional practice and development.
- 2.2 Appraisal should be based on the principles of
 - clarity of expectation
 - fairness and reasonableness
 - consistency
 - balance
 - enablement including supportive development
 - confidentiality
- 2.3 Teachers must know what is expected of them in order to support the school improvement plan as well as to benefit from the appraisal process.
- 2.4 The methods of assessment against standards and objectives should be fair, thorough and non-discriminatory. A variety of methods should be used and discussed with teachers in the school.

- 2.5 To ensure consistency any teacher to whom the appraisal of other teachers is delegated should be suitably prepared to discharge that responsibility, not only through knowledge of the appraisal regulations and process but also with the appropriate skills and confidence, whether by training within the school or by a suitable external organisation. Appraisers should be qualified teachers with relevant experience.
- 2.6 Consistency and balance should also be achieved by appropriate moderation and monitoring for quality assurance. The headteacher should report to the governing body annually on the appraisal process.
- 2.7 An assessment of a teacher's professional development needs and any action which should be taken to address them should be an integral part of the assessment and used to enable teachers to achieve their professional potential.
- 2.8 The records of each teacher's appraisal will be confidential. The use of information from appraisal reports to monitor fairness, inform the planning of professional development, ensure overall quality and report to the governing body should not compromise individual confidentiality.
- 2.9 If it becomes apparent during or at the end of the appraisal period that the teacher's overall performance is below accepted standards the headteacher should address the situation **without delay**, as described in the appraisal process, with a thorough assessment of the apparent deficiencies and possible causes (including any personal circumstances) and implement any necessary support. There should be a clear explanation to the teacher of what will happen if the necessary improvement does not take place.

APPRAISAL PROCESS

The Governing Body has adopted the following process for implementing the Appraisal Regulations in this school.

Publication of the process

- 1.1 The Headteacher will be responsible for publishing this process to all teachers in the school, together with the Teachers' Standards and any other standards to be used in accordance with the Appraisal Regulations. The Headteacher will also be responsible for ensuring that the appraisal process is published to each teacher newly appointed to the school.

Committee for appraising the headteacher

- 1.2 The Governing Body will appoint a committee to appraise the headteacher and delegate to this committee the responsibility to appoint an external adviser for the purposes of providing it with advice and support in relation to the appraisal of the headteacher. It will expect the committee to choose an adviser who is suitably skilled and experienced, ideally someone who has leadership experience in a school in the same phase but is not personally connected with the headteacher.

The appraisal period

- 1.3 The Governing Body has agreed that there will be a common twelve-month appraisal period for teachers in this school and that it will run from **1 September to 31 August** each year. The Governing Body has also agreed that in 2012 the old Performance Management Regulations will continue to apply to the performance management cycle started in 2011 until the completion of that cycle.

Allocation of appraisers

- 1.4 The Headteacher will decide to whom to delegate the role of appraiser in respect of each teacher in the school and notify that decision to both the appraiser and the teacher. If a teacher is dissatisfied with the choice of appraiser he or she should explain those concerns to the headteacher, who, if he or she considers them to be valid, will appoint an alternative appraiser. If the appraiser is unable to conduct an appraisal (for example, due to sickness), the headteacher will appoint an alternative appraiser.
- 1.5 The headteacher may make representations to the committee of the governing body if he or she has valid concerns about the choice of external adviser and the committee may then appoint a different adviser.

day. The appraiser will follow this with a written report, including the date and duration of the observation and the lesson or task observed, within five working days of the observation. The teacher will be given the opportunity to add written comments to each report. The headteacher may at that stage ask to see for moderation purposes the information given to each teacher and the evidence used for assessment.

Revision meeting

- 1.11 If appropriate a 'revision meeting' can be requested by the appraiser or the teacher and, if appropriate, objectives can be changed or adjusted.

Preparation of the appraisal report

- 1.12 At the end of the appraisal period the appraiser will meet with the teacher to prepare the appraisal report.
- 1.13 The appraiser will give the teacher the appraisal report. The teacher may add comments. If there are no objections to the report the appraiser will forward it to the headteacher who will moderate the report and consider any recommendations for professional development and pay.

Review of appraisal report

- 1.14 If the teacher is dissatisfied with any aspect of the appraisal report that teacher should discuss the objection(s) with the appraiser. If that discussion does not resolve the objections the teacher may submit a written request to the headteacher to review the appraisal report. In cases when the headteacher is the appraiser the teacher may submit a written request to the clerk to the governing body for the appropriate committee (depending on the governing body's delegations) to review the appraisal report.
- 1.15 If the headteacher has any concerns about the appraisal report he or she will discuss it with the appraiser in the first instance. The headteacher will then decide whether any action is needed about the quality of the report or the performance of the teacher.

Performance below acceptable standards

- 1.16 If it becomes apparent during or at the end of the appraisal period that the teacher's overall performance is below acceptable standards the headteacher or a member of the leadership team will meet with the teacher to discuss the nature and level of the concerns. The headteacher will then confirm the content of the discussion in writing and give the teacher the opportunity to reflect on it before another meeting, arranged with adequate notice, to determine what increased support will be given to the teacher, the kind of improvement required, the period within which the improvement

should take place, how improvement will be assessed and when the situation will be reviewed. The headteacher will explain to the teacher what is likely to happen if the required improvement is not achieved. A written record of this meeting will also be given to the teacher.

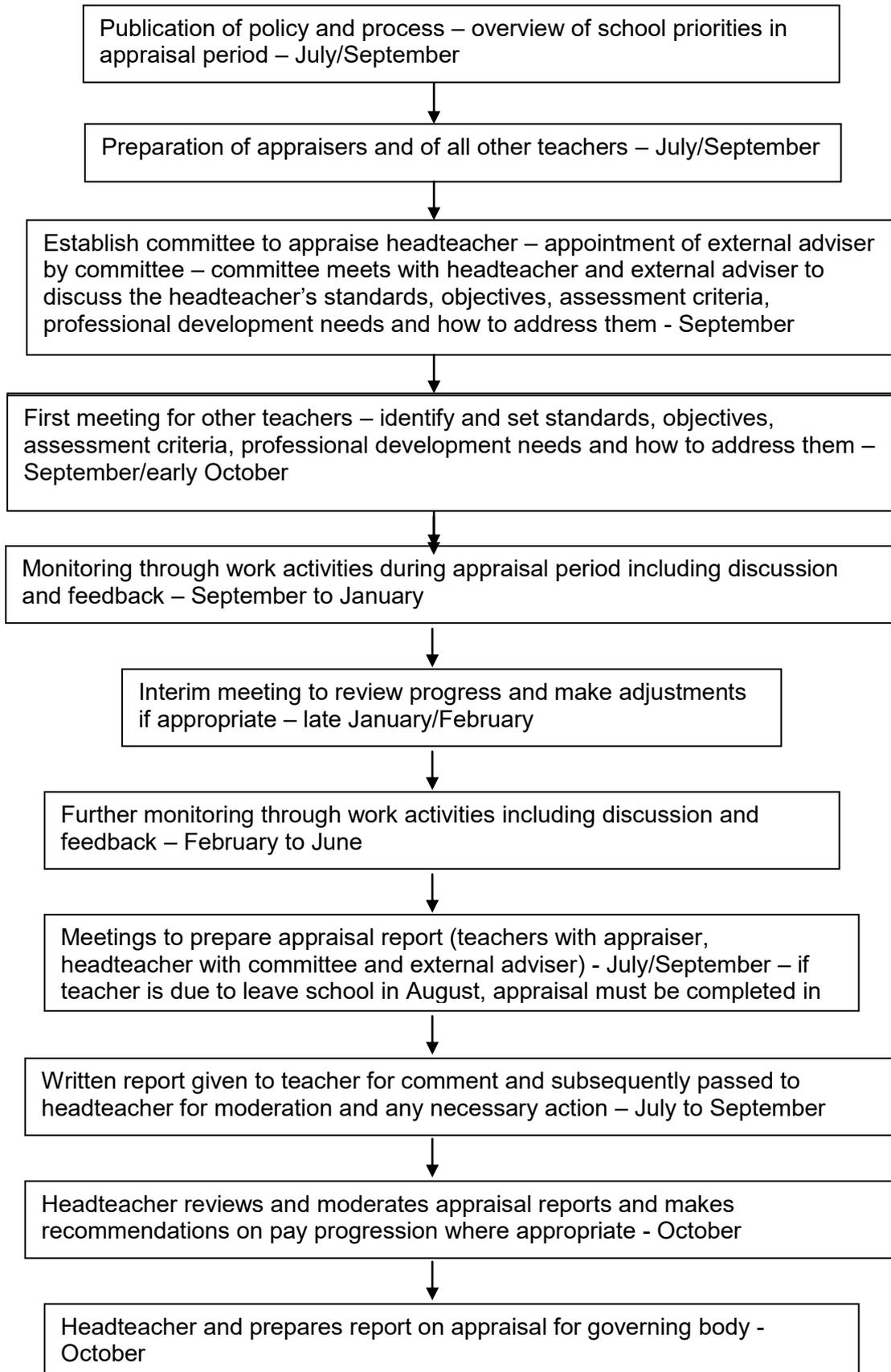
Confidential storage

- 1.17 Once appropriate actions have been taken on professional development and pay the headteacher will arrange for confidential storage of the report for a period of six years.

Headteacher's report to governing body

- 1.18 The headteacher will use the information in the appraisal reports, with due regard to confidentiality, to prepare the annual report on appraisal for the governing body.

FLOW CHART



MANAGEMENT GUIDANCE

1 Preparation for implementation

- 1.1 Headteachers are recommended to involve teachers when preparing their advice to the governing body on the appraisal process for their school.
- 1.2 Pending the adoption of an appraisal process headteachers should ensure that teachers are thoroughly prepared for the new arrangements, particularly the new requirement for assessing performance against the new teacher standards, and are aware of their entitlements and responsibilities under the appraisal regulations. Headteachers should be working with teachers to set aside time for group discussions.
- 1.3 In practice, in schools where performance has been managed well, teachers should not notice any change in the arrangements for managing their appraisal.

2 Consistency, clarity and fairness in practice

- 2.1 Schools should ensure that the whole process is fair, thorough and non-discriminatory.
- 2.2 For a fair process, teachers must be told clearly what is expected of them. This prevents mistaken assumptions.
- 2.3 Headteachers should ensure that any teacher to whom the appraisal of other teachers is delegated is suitably prepared to discharge that responsibility, not only through knowledge of the appraisal regulations and process but also with the appropriate skills and confidence, whether by training within the school or by a suitable external organisation. Appraisers should be qualified teachers with relevant experience. Arrangements should take account of the provision in the School Teachers' Pay and Conditions Document that "A teacher with leadership and management responsibilities is entitled, so far as is reasonably practicable, to a reasonable amount of time during school sessions for the purpose of discharging those responsibilities."

3 Balanced assessment

- 3.1 The regulatory requirements for appraisal are far fewer than for the old performance management regulations. They make no reference to classroom observations or other methods of assessment; these are left to schools to determine as part of the process for the school. The model policies produced by the Department for Education and teachers' associations concentrate on classroom observation, whereas Birmingham has consistently and repeatedly advised that methods of assessment should draw on a variety of evidence. The Appraisal Regulations specify that assessment

should be of the teacher's role and responsibilities, which will cover extra responsibilities for which teaching and learning responsibility payments are awarded or which belong to posts on the leadership spine.

- 3.2 Teachers should be consulted on the methods of assessment in the school, including the nature of the objectives set and the way in which their performance is assessed against the relevant standards and objectives. They should feel comfortable in discussing the process and assessment with their appraiser.
- 3.3 Headteachers are advised to involve their teachers fully in discussing with them not only 'what a good job looks like' in relation to the new teacher standards but also 'what a good assessment of a teacher's performance looks like' and the various ways in which the quality of teaching and learning should be assessed. They should also be guided by the specification in the OFSTED framework for leadership and management to monitor the quality of teaching and learning.
- 3.4 An assessment should be fair, consistent, and supportive and based on clear expectations described at the beginning of the appraisal period. The methods of assessment should build on the good practice already established in schools. They should be formative and summative, relevant, proportionate, and based on strong evidence drawn from a balanced variety of sources, including planning and work scrutiny, observation and visits to classrooms, assessment data and information from surveys, school councils etc. It is expected that schools' systems and records are accurate and strong enough to provide sufficient valid evidence to support the appraisal process and outcomes. Teachers may also gather their own evidence. The appraisal report at the end an assessment, as a summative assessment of a formative process, should never be a surprise to the teacher.
- 3.5 Assessment of teachers against the prescribed standards should relate to the absolute standards required and not to years of experience or particular pay points on the main scale. There is no basis for this in the School Teachers' Pay and Conditions Document, nor will OFSTED inspectors enquire about stage which a teacher has reached in his or her career when making their own judgements about a teacher.

4 Objectives

- 4.1 Objectives should describe the essential outcomes of provision and performance required of the teacher, aligned to the current School Improvement Plan, the Teachers' Standards, and the individual teacher's job description. They should enable the teacher to focus on his or her particular contributions to overall school improvement and most urgent development needs, the addressing of which will benefit the pupils and support the teacher's career aspirations. Objectives should concentrate on pupil progress

and achievement and the quality of learning and teaching. The fewer the objectives the easier it is to clarify priorities. Objectives set should be specific, measurable, achievable, realistic and time-bound, whether short-term or long-term, and appropriate to the teacher's role and responsibilities. It is essential that they should be clear and precise, setting out the aim and relating it to specified groups in the context of the school and its needs. Careful consideration should also be given to the way in which objectives are worded. For example, in order to be realistic and achievable, an objective relating to improvement of teaching skills should recognize that teachers can be asked to **enable** other teachers to achieve targets but that it is for those other teachers to respond to the strategies and support offered to them; a teacher cannot be expected to **ensure** that the other teachers achieve the targets.

4.2 Two examples of objectives are given below. They must be made specific according to the needs of the school development plan and the role and responsibilities of the particular teacher.

- **Class teacher** - to enable pupils in specified class/group to make the progress and meet the targets required in a specified curriculum area or subject as identified and agreed through accurate assessment of pupils
- **Class teacher** – increase his or her knowledge and understanding in a specified subject or aspect of the curriculum and apply this knowledge and understanding when teaching specified pupils

4.3 Objectives should have regard to what can reasonably be expected of that teacher consistent with the school's strategy for achieving a work/life balance for all teachers as required under the School Teachers' Pay and Conditions Document and any individual circumstances, such as a disability or part-time working, for which a reasonable adjustment should be considered. Appraisers and those being appraised should seek to agree individual objectives, with teachers having the opportunity to make written comments about their objectives. Each objective should include the sources of evidence by which achievement will be assessed; this should also have been discussed with the teacher.

4.4 Provision should be made for revision of objectives during the appraisal period should this be considered appropriate.

5 **Observation**

5.1 Observation, whether in lessons or in respect of work outside the classroom, is an important method of assessment which should be undertaken fairly and in a supportive way. It should be a confidential process of constructive engagement conducted with professionalism, integrity and courtesy, with an acknowledgement that unforeseen circumstances may from time to time

affect a particular lesson or task, and resulting in a report which is objective, accurate and fair. It is recognised that in schools where performance management has been effective existing arrangements for observation have been adequate for the purposes of helping to assess teachers' performance, so the amount of lesson or task observation should not normally exceed previous levels. Between them the headteacher and the appraiser should be familiar enough with the teacher's work to be able to recognise the odd occasion when a lesson or task has not been as good as it would normally be and assure with confidence both the teacher and any inspector that the standard of the lesson or task in question was not typical. Arrangements for observation should be discussed with teachers and should be set out for them as part of the appraisal process. The arrangements for observation should be included in the appraisal process.

6 Enablement

- 6.1 The entitlement in the new regulations to an assessment of a teacher's professional development needs and any action which should be taken to address them should be an integral part of the appraisal.

7 Confidentiality

- 7.1 Confidentiality is essential to the effective operation of the appraisal process. Where it is necessary to share information with the governing body or senior management team for purposes such as planning professional development and quality assurance data will be presented with due regard to confidentiality. Teachers should be informed of any request to see the report on their individual appraisal.

8 Teachers dissatisfied with aspects of the appraisal process or report

- 8.1 Neither the Appraisal Regulations nor the model appraisal policy from the Department for Education make any reference to what should happen if a teacher is dissatisfied with any aspect of the appraisal process or report.
- 8.2 The model policy from ATL, NAHT and NUT provides for an appeal against any entries in the written appraisal report at the end of the appraisal process. The model policy from NASUWT provides for appeals at "specified points in the performance management process", including what the NASUWT calls the 'planning statement', which corresponds to the information which the headteacher is required to give to every teacher on the standards and objectives set for that teacher.
- 8.3 Although the Appraisal Regulations make no reference to appeals, the School Teachers' Pay and Conditions Document requires the governing body to "establish procedures for addressing teachers' grievances in relation to their pay in accordance with the ACAS Code of Practice". Where an appraisal

report makes recommendations about pay - which it must do “where relevant under the Document” - teachers will have the right to raise grievances if they consider that the appraisal report has affected their pay. Birmingham’s model pay policy makes separate provision for this.

- 8.4 Having regard to the principle of fairness, Birmingham’s model process provides that teachers dissatisfied with their appraisal report for reasons not related to their pay should be able to make representations about the content of the appraisal report to the headteacher. If the headteacher is the appraiser, the teacher should be able to make representations to the appropriate committee of the governing body (in accordance with the governing body’s delegations).

9 Performance below acceptable standards

- 9.1 The Appraisal Regulations are silent on what happens if the appraisal report shows that the teacher’s performance is below acceptable standards. There is no mention of capability procedures in the Regulations.
- 9.2 The Government’s model appraisal policy provides for ‘transition to capability’ if the appraiser is not satisfied with progress, preceded by a formal meeting to discuss the nature and seriousness of any concerns and agree any support to be provided to address those concerns and a subsequent review of progress.
- 9.3 The model policy from ATL, NAHT and NUT includes a section on teachers experiencing difficulties which are such that, if not rectified, could lead to capability procedures. That section makes provision for support for such teachers and a “transition meeting to determine whether formal capability proceedings need to be commenced or the appraisal process remains in place”.
- 9.4 The NASUWT model policy states that “The performance management process will not be used as a substitute for the informal stage of the capability procedure.”
- 9.5 Birmingham’s model appraisal process includes a section on what should happen if at any point in the appraisal period it appears that the teacher’s performance is below acceptable standards.

10 Capability procedure

- 10.1 The School Staffing Regulations require governing bodies of maintained schools to establish procedures for dealing with lack of capability on the part of staff at the school.

- 10.2 Following discussions with the teachers' associations the authority recommends that an appraisal policy should be separate from capability procedures. Any school which may be considering adoption of the Government's model appraisal policy is advised to omit the paragraphs which commit the governing body to adopting the Government's model capability procedure. The authority has stated that it will discuss capability procedures with the teachers' associations locally. In the meantime the governing body's existing capability procedures should continue in use; they are based on statutory guidance which remains in force until 1st September, 2012.
- 10.3 The current model capability procedure provides for its use "if a teacher fails, on a regular basis, to perform his or her duties to an acceptable professional standard in accordance with the duties set out in the School Teachers' Pay and Conditions Document." The reference to professional standards matches the new provision in the Appraisal Regulations for appraisal against the national standards.
- 10.4 In all cases of employee capability headteachers should take early advice from Employee Relations. The City Council meets the costs of successful claims to an employment tribunal in respect of maintained schools (i.e. excluding academies and free schools), subject to the appropriate policies and procedures having been followed, the presence of a City Council representative at all stages when dismissal is under consideration and the authority's advice having been followed. Otherwise any such costs will be charged to the school's budget share.

11 Other policies and procedures

- 11.1 Part two of the new teachers' standards deals with 'personal and professional conduct'. Headteachers will consider whether inappropriate personal or professional conduct can be managed informally or should be investigated as potential misconduct under the school's disciplinary procedure.