



**TRENT  
ACADEMIES  
GROUP**

## **Appraisal Policy**

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## 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 model policy and accompanying guidance document have been produced in collaboration with a working group of headteachers and school CPD leaders representing primary, special, secondary and academy schools in Nottinghamshire; feedback from school leader countywide briefing events and the recognised trade unions. Whilst it is a matter for individual school governing bodies to adopt an appraisal policy which meets their individual school requirements all schools are strongly advised to adopt this model policy. Please note that the term "school" throughout this document is used to include academy, foundation, trust voluntary aided, voluntary controlled schools and all other forms of school governance arrangements in Nottinghamshire schools.

The Appraisal Regulations 2012 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 and say nothing, or very little, on many subjects for which the 2006 Regulations made detailed provision. This model appraisal policy has developed the minimum national framework document produced by the DfE and is supported by a Nottinghamshire guidance document incorporating advice on good practice contained within existing performance management policies.

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. This model appraisal policy applies only to teachers, including headteachers, as there is no national regulation covering support staff in schools. However, schools might wish to adapt this policy for use with all staff. It has been written in the context of schools, but the same principles apply to unattached teachers. It is expected that schools will consult staff on their appraisal and capability policies. This model appraisal policy, agreed with the recognised trade unions, is recommended for adoption by the governing bodies of all schools.

The model appraisal policy incorporates all of the requirements of the Appraisal Regulations 2012 and on the 1st September 2012 it supersedes the previous local authority performance management model policy and guidance, which had been designed to support the 2006 Regulations. The statutory appraisal arrangements for teachers do not apply to school support staff. However, the governing body recognises that effective appraisal processes and professional development are key to supporting the career progression for all staff. Therefore, the school will seek to include all support staff in an appraisal process which complements the statutory scheme for teachers but which is relevant to their role and does not link performance to pay progression. Any such process must involve full consultation with staff and the trade unions representing support staff in schools.

The school has a separate Disciplinary (Capability) – Performance procedure which replaces the statutory guidance "Capability Procedures for Teachers" issued in July 2000. The school's capability procedures apply to all teachers and support staff about whose performance there are serious

concerns that the appraisal process, designed to be developmental and supportive, has been unable to address.

The following paragraphs within the model policy are statutory requirements contained in the Appraisal Regulations or the School Staffing Regulations and must be included in the school policy. For clarity, the statutory paragraphs are headed:

- The Appraisal Period
- Appointing Appraisers
- Setting Objectives
- Annual Assessment

The model policy is supported by an additional document titled 'Guidance for Head Teachers and Governing Bodies' which should be read in conjunction with this policy to ensure it is interpreted correctly.

The appraisal policy is therefore recommended for adoption by all:

- Community Schools
- Voluntary Aided and Voluntary Controlled Schools
- Academy Schools
- Foundation Schools
- Trust Schools

This policy has been agreed by the following Nottinghamshire recognised trade unions: NUT; NASUWT; ATL; ASCL and NAHT

Due to the complexities of this area of employment and education law, governing bodies are strongly advised to adopt the attached policy without amendment. Should, exceptionally, a governing body seek to amend the recommended policy, they will need to consult/negotiate any changes collectively with all the secretaries of the recognised trade unions and confirm any amendments to the local authority. Governing Bodies are strongly recommended to seek advice from the Human Resources) HR team in these circumstances.

It is recognised that some Academy, Foundation or Aided schools may choose to adopt the procedures recommended by their Diocesan Authority or their own HR provider.

### **Appraisal Policy**

The Governing Body of Rushcliffe School adopted this policy on 10<sup>th</sup> October 2012.  
It will be reviewed in October 2014

### **Purpose**

This policy sets out the framework for a clear and consistent assessment of:

- the overall performance of teachers, including the headteacher, and
- for supporting the development of teachers within the context of the school's plan for improving educational provision and performance, and the standards expected of all teachers.

The appraisal policy will also be used to address any concerns about a teacher's performance at the earliest possible opportunity. If concerns are such that they cannot be resolved through appraisal, consideration will be given to the commencement of the capability procedure. This policy therefore

sets out the arrangements within the appraisal process that will apply when teachers fall below the levels of competence that are expected of them.

Where the headteacher and other teachers are eligible for pay progression, the assessment of performance throughout the cycle, against the objectives and performance criteria specified in the appraisal statement, will be the basis on which the recommendation is made by the reviewer.

### **Application of the policy**

This policy , covers appraisal, and applies to the headteacher and to all teachers employed by the school or local authority, except those on contracts of less than one term, those undergoing induction (*ie NQTs*) and those for whom the appraisal process has been suspended as they are subject to the schools separate Disciplinary – Performance (Capability) Procedures. The capability procedure applies only to teachers (including the headteacher) and support staff about whose performance there are serious concerns that the appraisal process has been unable to address.

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 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 from September to September.

Teachers who are employed on a fixed term contract of less than one year but of one term or more 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.

There is flexibility to have a longer or shorter appraisal period when teachers begin or end employment with a school. Where a teacher ceases employment other than at the end of the appraisal period, the appraisal period ends on the last day of employment. Where a teacher starts their employment at the school part way through an appraisal cycle, the headteacher or, in the case where the employee is the headteacher, 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 all other teachers as soon as possible.

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

### **Appointing appraisers**

The governing body will ensure that all appraisers, other than those appraising the headteacher are qualified teachers and that a teacher's appraiser will normally be their line manager where the headteacher delegates this responsibility. The governing body will ensure that all appraisers, including members of the governing body, are suitably trained.

### **Appraisal arrangements for the headteacher**

The headteacher will be appraised by the Governing Body, supported by a suitably impartial, skilled, informed and 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 a sub-group consisting of three members of the Governing Body.

## **Appraisal arrangements for all other Teachers**

The headteacher will decide who will appraise other teachers. Appraisers will either be the Head of Faculty or a linked member of the Leadership Team.

### **Quality Assurance of appraisal statements**

The Governing Body is committed to ensuring consistency of treatment and fairness in the operation of the Appraisal policy for all staff. The school operates a system of moderation to ensure that all appraisers are working to the same standards. Objectives will be moderated across the school to ensure that they are consistent between teachers with similar experience and levels of responsibility. The following provisions have therefore been put in place in relation to moderation, quality assurance and objective setting in the appraisal process:

**Headteacher Appraisal** - the Governing Body will nominate up to 3 governors – excluding staff governors - who will not be involved in the headteacher's appraisal or any appeal regarding the headteacher's appraisal to ensure that his / her appraisal statement:

- is consistent with the school's improvement priorities and complies with the school's appraisal policy and the Appraisal Regulations
- assesses the headteacher's performance of their role and responsibilities against the relevant headteacher standards

**Other Teacher Appraisal** - Where appraisal is delegated to line managers for some or all teachers the headteacher will moderate a sample of appraisal planning statements to check that the plans recorded in the statements:

- are consistent between those who have similar experience and responsibility
- comply with the School's Appraisal Policy, the Appraisal Regulations and relevant equality legislation
- assess the teacher's performance of their role and responsibilities against the relevant Teacher Standards
- will ensure that the objectives set for each teacher, will, if achieved, contribute to the school's plans for improving its' educational provision and performance and improving the education of pupils at that school.

### **Setting objectives**

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

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 (SMART) Specific, Measurable, Achievable, Realistic and Time-bound and will be appropriate to the role of the headteacher / teacher and level of experience. The objectives will have regard to what can reasonably be expected of the teacher in the context of their role, responsibilities and experience consistent with the principle of achieving a satisfactory work/life balance. The appraiser and appraisee will seek to agree the objectives but, if that is not possible, the final decision on the allocation of objectives rests with the headteacher. Objectives may be revised if circumstances change, such that the objectives set are no longer a priority for the individual's professional development.

The objectives set for each teacher will, if achieved, contribute to the effective delivery of the school's plans for improving its educational provision and performance and for improving the education of pupils at that school. This will be ensured by ... *(for example – quality assuring all objectives against the school improvement plan, the individual teacher's assessment against the Teachers' Standards and class targets taking into account the age, capability and prior attainment of*

*pupils in each teacher's class(es) and national expectations of pupil progress*). The agreed objectives set will contain a description of what success may look like and identify the support/professional development required.

Before, or as soon as practicable after, the start of each appraisal period, each teacher will be informed of the standards against which his / her performance in that appraisal period will be assessed. All teachers will be assessed against the set of standards contained in the 'Teachers' Standards' document published in July 2011, which is effective from 1 September 2012. 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. These relate to the standards for advanced skills teachers, excellent teachers, post threshold, subject leaders and headteachers.

For teachers who are qualified teachers by virtue of holding QTS status, it is for the governing body or headteacher to decide which of the above standards are most appropriate. Such teachers may be assessed against the Teachers' Standards, against any other relevant sets of standards issued by the Secretary of State, against any other professional standards relevant to their performance or any combination of those three.

### **The Objectives**

In this school all teachers including the headteacher will normally have a maximum of no more than 3 objectives, but by agreement this may be varied.

- All teachers, including the headteacher, will have a whole school / team objective
- All teachers, including the headteacher, will have an objective related to the Teachers' Standards (or other relevant standards) as appropriate. Where other standards apply for teachers who have additional responsibility or where they are required to satisfy relevant criteria associated with pay progression they should be used in the formulation of appraisal objectives
- All teachers including the headteacher will have a pupil progress objective

### **Reviewing Performance**

#### **Reviewing Progress**

Progress will be reviewed during and at the end of the appraisal cycle. Assessment of performance against all objectives and will be based on the success criteria set at the beginning of the cycle or in line with any in-year adjustments to objectives which take place as part of an interim review.

### **Monitoring and Evaluation**

This school believes that monitoring and evaluation 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 monitoring and evaluation will be carried out to support the individual to achieve the agreed objectives or address any performance concerns and be delivered in a supportive fashion. Monitoring and evaluation will be conducted in line with the school's agreed Monitoring and Evaluation, Quality Assurance Policy and where it is separate, the Classroom Observation Policy.

Teachers' performance will be regularly monitored and evaluated but the form and frequency of monitoring and evaluation will depend on the individual circumstances of the teacher and the overall needs of the school. Lesson observation within the context of the appraisal process will be carried out by qualified teachers. In addition to lesson observations, headteachers or other leaders with

responsibility for teaching standards may use a range of other appropriate monitoring tools in order to evaluate the standards of teaching and to check that high standards of professional performance are established and maintained. This may include the use of learning walks, pupil pursuits, work scrutiny and progress tracking data. The length and frequency of any monitoring activity will depend on specific circumstances. The school will need to decide the frequency and form of monitoring and evaluation activities per cycle which all teachers will have as part of the appraisal process as a minimum requirement. This should include provision for exceptional circumstances where concerns have been raised about a teacher's performance, or where the teacher requests additional observation visits. The school will ensure that any monitoring and evaluation activity integrates with other management requirements (for example subject reviews) to minimise duplication and additional workload.

Teachers (including the headteacher) who have responsibilities outside the classroom should also expect to have their performance of those responsibilities observed and assessed in line with their objectives.

### **Appeals**

At specified points in the appraisal process the headteacher and other teachers have a right of appeal against any of the entries in their appraisal statements following the completion of the quality assurance process, if applicable. Where a teacher wishes to appeal on the basis of more than one entry on the appraisal statement this would constitute one appeal hearing.

Details of the appraisal appeals process are covered in appendix 1a and 1b of the school's pay policy.

### **Confidentiality and retention of records**

The appraisal process and the statements generated within it will be treated with the strictest confidentiality at all times. The Governing Body will ensure that access to appraisal records is restricted to enable the line manager to undertake his / her line management responsibility and that the appropriate arrangements are in place for all appraisal records to be retained securely and confidentially for a minimum period of 6 years. The governing body recognises that OfSTED will ask the school to provide anonymised information of the outcomes of the most recent appraisal of all teachers. Where the application of the capability process is required, an individual teacher's appraisal information will be made available but restricted to those staff and named governors as required by the procedures.

### **Development and support**

The governing body recognises the importance of appraisal and that it is a supportive process which will be used to inform continuing professional development. The school wishes to encourage a culture in which all teachers take responsibility for improving their teaching through appropriate professional development. Professional development will be linked to school improvement priorities and to the ongoing professional development needs and priorities of individual teachers.

### **Feedback**

For the purpose of professional development, the appraisee (headteacher and other teachers) will receive constructive developmental feedback on their performance throughout the appraisal period. This will also include feedback, as soon as practicable, after any monitoring and evaluation activity has taken place or other evidence has come to light. Feedback will highlight particular areas of strength as well as any areas of concern that need attention. Where there are concerns about any aspects of the teacher's performance, the appraiser will meet the headteacher or the teacher formally to:

- give clear feedback to the appraisee (headteacher / teacher) about the nature and seriousness of the concerns;
- give the headteacher / teacher the opportunity to comment and discuss the concerns;
- agree any additional support (eg coaching, mentoring, structured observations); that will be provided to help address those specific concerns;
- make clear how, and by when, the appraiser will review progress. It may be appropriate to revise objectives, and it will be necessary to allow reasonable time for improvement. The amount of time should reflect the seriousness of the concerns;
- explain the implications and process if no – or insufficient – improvement is made.

When progress is reviewed, if the appraiser is satisfied that the teacher has made, or is making, sufficient improvement, the appraisal process will continue as normal, with any remaining issues continuing to be addressed through that process.

### **Annual assessment**

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

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 appraisal period in interim meetings which will take place once a term.

The teacher will receive a written appraisal report as soon as practicable following the end of each appraisal period and have the opportunity to comment in this in writing. The assessment of performance will be made against the agreed objectives. In this school, teachers will receive their written appraisal reports by 31<sup>st</sup> October and by 31<sup>st</sup> October for the headteacher. 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 (1) their agreed objectives and
- (2) the relevant standards applicable to the teacher;
- 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 within the School Teachers' Pay and Conditions Document (STPACD) (*NB* – The decision on pay will need to take into account the statutory criteria and guidance as set out in the STPACD. Pay recommendations need to be made by 31<sup>st</sup> October for headteachers and 31<sup>st</sup> October for other teachers);
- a section for the teacher and appraiser to add their own comments

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

### **Monitoring and evaluation**

The Governing Body will put in place appropriate arrangements for the appraisal policy to comply with the Equality Act 2010 and to be monitored and evaluated. The headteacher will provide the governing body with a written report on the operation of the school's appraisal policy on an annual basis. The report will not contain information that would enable any individual to be identified and will include the following information:

- an overview of the operation of the appraisal policy
- progress made and an assessment of the effectiveness of the policy (including details of any appeals or representations)
- an overall summary of all teachers' CPD training and development needs
- a summary of CPD delivered and impact
- a review of the quality assurance/ self evaluation process and any changes required
- any equality issues arising from the policy and in particular any issues arising related to equal pay, race, sex, sexual orientation, disability, religion or belief, age, part-time contract or trade union membership.

The report will be presented to the spring term governing body meeting.

### **Review of the policy**

The Governing Body will review the appraisal policy every school year at its spring governing body meeting. The governing body will take account of the headteacher's report in the review of the appraisal policy. All new teachers appointed to the school will be briefed on the appraisal policy and arrangements as part of their induction to the school.

### **Access to Documentation**

Copies of relevant documents are published on the schools intranet and/or can be obtained from the school office. These may include the school's improvement plan, training plans and the latest self evaluation reports.

### **Transition to capability**

There is no automatic transition to the school's Disciplinary (Capability) Performance Procedures. However, where performance concerns emerge, the nature and seriousness of those concerns should be discussed as soon as possible with the teacher. Every effort should be made to resolve performance concerns within the appraisal process through the provision of targeted additional support agreed in discussion with the teacher and regular feedback and review. Where concerns are such that the teacher is not performing to an appropriate level, the headteacher or other identified senior leader will be included in these discussions. If the performance concerns are not resolved through a minimum of two cycles of support and feedback, consideration should be given to the application of the capability procedure.

Where the appraiser considers that there is insufficient evidence of progress against the objectives based on the evidence available at an interim review meeting and from the additional support cycles, the appraisee will be notified in writing that the appraisal process will no longer apply and that their performance will be managed under the capability procedure.