

Dream Believe Achieve

TEACHER PERFORMANCE MANAGEMENT POLICY VERSION 2

DATE OF ORIGINAL RATIFICATION: NCC 2016 / Reviewed 2019

DATE OF MOST RECENT REVIEW: October 2020

SUMMARY OF CHANGES AT LAST REVIEW

- Adoption of most recent NCC policy upon transferral to LGSS as an HR provider
- Addition of trust-based observation practice as the means of formally observing teacher performance
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RECORD OF CONSULTATION	
DATE	CONSULTATION DETAILS
April 2020	Staff Consultation
	NCC Consultation with professional organisations

Teacher Appraisal Policy

Effective from July 2019

1. Introduction

This model policy is recommended for adoption by Governing Bodies of all schools, including Foundation, Voluntary Aided schools and Academies who apply the School Teachers Pay and Conditions Document (STPCD).

The application of this policy will apply to all employees, in any establishment, whose terms and conditions are determined by the School Teachers' Pay and Conditions Document. It is therefore set out as a school policy and refers to the "governing body", rather than the "relevant body". The policy is intended to be easily amended to cover circumstances where the relevant body is not the Governing Body

This policy has been developed in consultation with the recognised trade unions. If the Governing Body wishes to deviate from this policy or adopt any other policy, the Governing Body will arrange consultation with recognised trade unions. It is also good practice for schools to consult staff on the appraisal policy.

The appraisal process is designed to ensure that all teachers have the skills and support they need to carry out their role effectively. Appraisal will help to ensure that teachers are able to continue to develop and improve their professional practice.

Appraisal will link to pay progression in accordance with STPCD. This policy should be read in conjunction with the STPCD and the Schools' Teacher Pay Policy.

This policy sets out the framework for clear and consistent assessment of the overall performance of teachers, within the context of the school's plan for improving educational provision and performance, and the standards expected of teachers. It is important that the appraisal process is managed in a way that avoids increased workloads for all parties concerned.

This policy complies with the Education (School Teachers' Appraisal) (England) Regulation 2012

2. Scope of Policy

Unless indicated otherwise, all references to "teacher" include the Headteacher.

The policy applies to any teacher employed for two school terms or more (based on a six term year) in the school.

This policy does not apply to:

- Any teacher undergoing an induction period in accordance with the Education (Induction Arrangements for School Teachers) (England) Regulations 2008 (i.e. NQT's)
- Any teacher who is currently subject to the school's Capability Procedure.

3. Responsibilities

The Governing Body

The Governing Body will:

- make this policy available to teachers
- appoint an external advisor to provide advice and support in relation to the appraisal of the Headteacher
- appraise the performance of the Headteacher in line with this policy and the school's pay policy.
 - ensure the Headteacher has a directed time budget available to teachers that shows the amount of directed time allocated to the appraisal process for each teacher

Teachers

Teachers will:

- ensure they understand the appraisal arrangements within the school
- take responsibility for participating in arrangements for their own appraisal in line with this policy, including gathering evidence
- keep records of their objectives and review them throughout the appraisal process

Some teachers will also have responsibilities to appraise the performance of other teachers (delegated by the Headteacher).

The Headteacher

The Headteacher will (in respect of all other teachers):

- ensure that appraisers and appraisees have been briefed and trained if necessary in undertaking/participating in appraisals.
- ensure the appraisal process fits in with the school's development plan
- meet with other appraisers to:
 - o clarify the process
 - o confirm who is appraising whom
- ensure all objectives are at the right level and follow SMART principles
- collate the appraisal forms to look at the distribution, fairness and consistency of ratings
- ensure no bias in ratings across protection equality characteristics, and investigate any anomalies
- assist appraisers who appear too harsh or generous in their ratings
- handle any concerns or disputes arising from the appraisal process with a view to resolving to the satisfaction of all parties involved.

The Appraiser

The appraiser will:

- carry out the appraisal process in line with the principles and procedure in this policy.
- seek to agree all objectives and conclusions with the appraisee whenever possible.

4. Principles

4.1 The appraisal period

The appraisal period is a 12 month period, normally September to 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 and objectives will take account of the length of the contract.

If a teacher starts their employment at the school part-way through the school year, the Headteacher (or, if the employee is the Headteacher, the Governing Body) will determine the length of the appraisal period for that teacher with a view to bringing their appraisal period into line with the school's usual appraisal period as soon as possible.

If a teacher transfers to a new post within the school part-way through an appraisal period, the Headteacher (or if the employee is the Headteacher, the Governing Body) will determine whether the appraisal period and/or objectives should be amended and whether the appraiser should be changed.

4.2 Appointing appraisers

The Governing Body is the appraiser of the Headteacher, supported by a suitably skilled and/or experienced external adviser who has been appointed by the Governing Body for that purpose. The task of appraising the Headteacher, including the setting of objectives, may be delegated to a sub-committee of the Governing Body.

The Headteacher will decide who will appraise the performance other teachers, having regard to:

- the principle that the appraiser should normally be the line manager.
- the significance of the role of appraiser in relation to its links with pay progression.
- ensuring that the associated workload is distributed fairly and justifiably between appraisers.

4.3 Objectives

The Headteacher's objectives will be set by the Governing Body after consultation with the external adviser. The Governing Body will give due regard to the work-life balance of the Headteacher and objectives will reflect this.

Teachers' objectives will be set by their appraiser.

Objectives will be Specific, Measurable, Achievable, Realistic and Time-bound (SMART). They will be appropriate to the teacher's role and level of experience both in terms of number of objectives and complexity. Objectives and performance management discussions will not be based on teacher generated data and predictions, or solely on the assessment data for a single group of pupils. They may be set in relation to robust assessment data, however, these will not be used in isolation and other factors will also be considered when making decisions about appraisal outcome.

If circumstances within the school alter, teachers' objectives may change.

The objectives set 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 Headteacher will ensure this by quality assuring all objectives against the school improvement plan.

4.4 Standards

Objectives provide an important basis for assessing performance but they are not the sole criteria.

Teachers' performance will be assessed against the relevant standards for their role.

All teachers will be assessed against the Teachers' Standards.

Appraisers will determine whether certain teachers should also be assessed against other sets of standards that are relevant to them. If this applies the appraiser will ensure that those teachers are aware of those standards and their requirements.

Upper Pay Range teachers will be required to meet the criteria set out in the STPCD, namely that:

- the teacher is highly competent in all elements of the relevant standards; and
- the teacher's achievements and contribution to the school are substantial and sustained.

In this school, this means:

"highly competent": the teacher's performance is assessed as having excellent depth and breadth of knowledge, skill and understanding of the Teachers' Standards in the particular role they are fulfilling and the context in which they are working.

"substantial": the teacher's achievements and contribution to the school are significant, not just in raising standards of teaching and learning in their own classroom, or with their own groups of children, but also in making a significant wider contribution to school improvement, which impacts on pupil progress and the effectiveness of staff and colleagues.

"sustained": the teacher must have had two consecutive successful appraisal reports in this school and have made good progress towards their objectives during this period (see exceptions, e.g. maternity/sick leave, in the introduction to this section). They will have been expected to have shown that their teaching expertise has grown over the relevant period and is consistently good to outstanding.

4.5 Observation

This school believes that observation of classroom practice and other responsibilities is important both as a way of assessing teachers' performance in order to identify any particular strengths and areas for development they may have and of gaining useful information which can inform school improvement more generally.

All observations will be carried out in a supportive way and not add to teacher workload.

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.

Whilst the Regulations do not put in place a limit on the amount of observation, the school may determine – prior to any cycle – a limit on the number of hours’ observation which may take place and ensure that staff are aware prior to the cycle.

It is our belief that formal performance management observations place staff under a great deal of pressure, which some may find difficult to handle and which can result in increased stress levels and a negative impact on wellbeing. These infrequent observations are usually followed by a professional conversation, linked to performance management objectives; however we believe that three times per year is too infrequent to bring about real change in professionals’ practice. The infrequent nature of the post-observation interview results in these causing teachers to feel vulnerable and possibly afraid of the process.

We believe that the development of teacher performance should be a collaborative, open and transparent process. Teachers should feel safe and supported within their own classroom to take risks within their practice. They should also feel confident that leaders have empathy with them and trust in them and their abilities. Key to successful performance management is safe, trusting relationships between teachers and leaders.

It is our practice to complete frequent, informal, unannounced trust-based observations in classrooms. These are designed to be positive, supportive and to encourage professional growth and development. Research shows that this type of trust-based observation proves the most effective for both teachers and leaders to understand the strengths of teachers.

1. Observations will take place on a continuous cycle and as part of the Strategic Leadership Team’s general school monitoring.
2. Observations will be time-limited to 20 minutes; sometimes being considerably less than this.
3. Leaders will focus on what the children are doing more than what the teacher is doing.
4. Leaders will speak to children and look at their outcomes during observations.
5. Leaders may look at planning files, assessment files and other records during observations.
6. Observation forms will be continuously shared with staff. Teachers should feel free to access and contribute to these evidence folders at any time. These form the evidence bank for their personal performance management cycle.
7. When a full 20 minute observation has taken place, the teacher will be invited to take part in a reflective conversation at some point after the observation. This may not always take place on the same day. This conversation will never simply consist of observers describing what they saw, but will be a two-way conversation; prompted by a series of discussion questions. This conversation will never take more than 10 - 20 minutes. This is important for staff well-being.
8. Suggestions around future development **may** arise during the course of the conversation. These could come from the leader or the teacher. However, teachers should be aware that leaders will never enter a reflective conversation with a list of points to be addressed. This is not the purpose of observations in our school.

Note: Our recognised teacher unions consider 3 hours a year or (three observations up to a maximum of 3 x 1 hour lessons) to be a reasonable maximum for internal observations. Whilst more frequent visits to classrooms may take place, as part of the school’s general monitoring, trust-based observations requiring a reflective conversation will never exceed 3 hours in a school year, unless the teacher requests more or a support plan is in place to address teacher capability.

Classroom observation will be carried out by those with relevant experience and training and, where possible, with QTS.

In addition to formal observation, Headteachers or other teacher 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 but should not normally be longer than 10

minutes. Due to the informal nature of a drop in, there should be normally be no written notes about an individual teacher taken. **However, due to the positive nature of trust-based observations, where positive evidence is found, this will be added to a teacher's folder of evidence, as this is deemed to be supportive.**

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

4.6 Other evidence

Performance assessment will be based not just on observations but on evidence from a range of sources. This may include, for example, self-assessment, peer review, tracking pupil progress, planning and work scrutiny, and other feedback obtained.

The range and level of evidence collected for appraisal and pay determination purposes will always be proportionate and minimise workload.

4.7 Development

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

CPD will be linked to school improvement priorities and to the on-going development needs and priorities of individual teachers.

4.8 Feedback

Appraisers will provide constructive written feedback on performance to teachers on a timely basis throughout the year and as soon as practicable after observation has taken place. Feedback will highlight particular areas of strength as well as any areas that need attention.

4.9 Concerns regarding performance

The school is committed to a spirit of openness and transparency in relation to performance and developmental needs. If there are concerns about a teacher's performance, this will be identified and discussed with the teacher as soon as possible. These concerns will often be resolved through support and advice as part of normal day-to-day performance management/supervision arrangements.

It may be appropriate to revise objectives, in which case it will be necessary to allow sufficient time for improvement. The amount of time allowed will be determined by the appraiser.

If, despite support and advice offered through day-to-day performance management/ supervision, a teacher demonstrates serious underperformance, the appraisal system will no longer apply and performance will be managed in accordance with the process outlined within the Capability Procedure, which begins with an informal stage of monitoring and support.

4.10 Pay Progression

Pay Progression will be determined in line with the STPCD and the schools Teacher Pay Policy. The written appraisal report will be taken into account for these purposes.

4.11 Appeals

Should a teacher not agree with their pay progression recommendation, the appeals process can be found as an appendix to the school's Teacher's Pay Policy.

4.12 Consistency of Treatment and Fairness

The school is committed to ensuring consistency of treatment and fairness and will abide by all relevant equality legislation, seeking advice where appropriate or necessary.

4.13 Confidentiality

The appraisal and pay progression process will be treated confidentially with access to written reports normally restricted to the appraisee, appraiser, Headteacher and Pay Committee.

4.14 Retention

The Governing Body and Headteacher will ensure that all written appraisal and pay progression records are retained in a secure place in accordance with the school retention schedule.

4.15 Monitoring and Evaluation

The Governing Body and Headteacher will monitor the operation and effectiveness of the school's appraisal and pay progression arrangements.

5. Procedure

5.1 At the start of the appraisal period

Before, or as soon as practicable after the start of each appraisal period, the appraiser will set out:

- the objectives for the teacher
- the standards against which the teacher's performance in that appraisal period will be assessed.
- what will be taken into account in making judgements about whether teachers have met their objectives and the relevant standards, and
- what will be included in the evidence base.

The appraiser and teacher will seek to agree the above matters, but where agreement is not possible the appraiser will make a determination.

5.2 Ongoing Assessment

The appraiser will monitor and review the teacher's performance and development on a regular basis. Interim meetings will take place as determined by the appraiser. This may include a formal mid-year review. There should also be regular informal contact and discussions as part of day-to-day performance management arrangements.

5.3 The Annual Appraisal

This appraisal is the point at which the appraisal process is linked to pay.

Timing of Annual Appraisal

The annual appraisal will take place at the end of the appraisal period or the beginning of the next appraisal period. The school will endeavour to complete:

- teacher's appraisals by the end of October, and
- the Headteacher's appraisal by the end of December.

Recording the appraisal

The appraisal of all teachers will be robust and transparent. It will be an evidence-based process, therefore teachers and appraisers should ensure that appropriate paper based evidence is available to support the outcomes.

- A model teacher appraisal form is available at appendix A
- A model self assessment form is available at appendix B
- A model peer assessment form is available at appendix C

Carrying out the assessment

A meeting will take place between appraiser and appraisee.

The following matters will be discussed and included on the appraisal report:

- details of the teacher's objectives for the appraisal period in question;
- an assessment of the teacher's performance of their role and responsibilities against their objectives and the relevant standards/criteria;
- an assessment of the teacher's training and development needs and identification of any action that should be taken to address them;
- a rating of their performance;
- a recommendation on pay where that is relevant.

The teacher will receive a written appraisal report within one calendar week of the appraisal meeting.

Following the assessment

Following receipt of the written report, the teacher will have the opportunity to comment in writing on it. The appraiser will seek to agree the contents of the appraisal report with the appraisee wherever possible.

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

The Headteacher will collate all appraisal reports for submission to the Pay Committee to determine performance related pay progression decisions.

6. Data Protection

Any data collected as part of employing and managing employees is held securely. It is accessed by, and disclosed to, individuals only for the purposes of completing that specific procedure; process or activity.

Records are retained and destroyed in accordance with the organisations Retention Schedule. Following the Goddard Inquiry the recommendation is that for those who work with children, performance paperwork (which includes appraisal records) is retained for 'life', meaning a destruction date of the individual's 99th

birthday.

Inappropriate access or disclosure of employee data constitutes a data breach and should be reported in accordance with the organisation's Data Protection Policy immediately. It may also constitute a disciplinary offence, which may be dealt with under the Disciplinary Procedure.

7. Policy Monitoring Review

This Appraisal Policy will be regularly reviewed to ensure it meets school needs and supporting documentation is effective and appropriate.