



## **BROADWAY JUNIOR SCHOOL**

### **Appraisal Policy**

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## Appraisal Policy

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### SIGNATURES:

Head Teacher	
Chair of Governors	

# Broadway Junior School

## Appraisal Policy

The Governing Body of Broadway Junior School adopted this policy on 17.10.13

### 1. INTRODUCTION

- 1.1 Revised appraisal arrangements came into force with effect from 1<sup>st</sup> 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 came to apply to any performance management cycle which is in progress on 1<sup>st</sup> 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.
- 1.2 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).
- 1.3 From 1<sup>st</sup> September 2013 the Teacher Standards introduced in September 2012 must be incorporated into a schools appraisal arrangement.
- 1.4 Schools and local authorities must have an appraisal policy for teachers and a policy, covering all staff, which deals with lack capability. This policy applies only to teachers, including head teachers.
- 1.5 This appraisal policy has been prepared by Sunderland Local Authority and is recommended for school to use to support the implementation of the revised appraisal arrangements. From 1 September 2012 this policy supersedes the previous

performance management policy and guidance, which had been designed to support the 2006 Regulations.

- 1.6 A separate policy sets out formal capability procedure and reflects the ACAS Code of Practice on disciplinary and grievance procedures.
- 1.7 The Governing Body shall ensure that the performance of teachers and the head teacher is managed and reviewed in accordance with the regulations and the school's appraisal policy.
- 1.8 As the school is required to demonstrate the link between appraisal, school improvement and its development plan, it is good practice to consult all teachers on the school improvement/development plan and self-evaluation process.
- 1.9 In the policy text in **bold** indicated statutory requirements contained in the Appraisal Regulations or the School Staffing Regulations (text in *italics* does not form part of the policy itself, but acts as additional advice).
- 1.10 All teachers are to be briefed on appraisal arrangements.

## 2. PURPOSE

- 2.1 This policy sets out the framework for a clear and consistent assessment of the overall performance of teachers, including the head teacher, and for supporting their development within the context of the school's plan for improving educational provision and performance, and the standards expected of teachers. A separate policy sets out the arrangements that will apply when teachers fall below the levels of competence that are expected of the (see the Capability Procedure).
- 2.2 *This policy should be read in conjunction with the school's pay policy which provides details of the arrangements relating to teachers' pay in accordance with the School*

*Teachers' Pay and Conditions Documents and the Education (England) Regulations 2013.*

### **3. APPLICATION OF THE POLICY**

- 3.1 The policy applies to the head teacher and to all teachers employed by the school except teachers on contracts less than one term, those undergoing induction (e.g. NQTs) and those who are subject of capability procedures.

### **4. CONSISTENCY OF TREATMENT AND FAIRNESS**

- 4.1 *The Governing Body is committed to treatment and fairness in the operation of appraisal by ensuring that there is consistency between those who have similar experience and similar levels of responsibility and comply with the school's appraisal policy and the requirements of equality legislation.*
- 4.2 The Head teacher will provide an annual report to the Governing Body on the appraisal process that has been carried out.
- 4.3 *The Governing Body will review the process of moderation and quality assurance when the appraisal is reviewed.*

### **5. APPOINTED APPRAISERS**

- 5.1 The head teacher will be appraised by the Governing Body, supported by a suitably skilled and/or experience **external adviser** (who has QTS) who has been
- 5.2 In this school the task of appraising the head teacher, including the setting of objectives, will be delegated to a sub-group consisting of two/three members of the Governing Body.
- 5.3 The head teacher will decide who will appraise other teachers (the appraiser must have QTS).

- 5.4 In the case where the head teacher is not the teacher's line manager, the head teacher may delegate the duties imposed upon the appraiser, in their entirety, to the teacher's line manager.
- 5.5 In this school the number of reviews *that any line manager will be expected to undertake per cycle should be mindful of their role workload and work/life balance and should be by agreement.*
- 5.6 *All line managers to whom the head teacher has delegated the role of appraiser will receive appropriate preparation for that role.*
- 5.7 Where a teacher has more than one line manager the head teacher will determine which line manager will be best placed to manage and review the teacher's performance.
- 5.8 Where a teacher is of the opinion that the person whom the head teacher has delegated the appraiser duties are unsuitable for professional reasons, s/he may submit a written request to the head teacher for that appraiser to be replaced, stating those reasons.
- 5.9 Where it becomes apparent that the appraiser will be absent for the majority of the cycle, or it is unsuitable for professional reasons, the head teacher may perform the duties himself/herself or delegate them in their entirety to another teacher. Where this teacher is not the appraisee's line manager the teacher will have a status in the staffing structure which is equivalent to or higher than the teacher's line manager.

## **6. SETTING OBJECTIVES**

- 6.1 The setting and agreement of objectives is fundamentally important to the effective operation of a performance management system that aims to link individual performance to pay progression.

- 6.2 **The head teacher's objectives will be set by the Governing Body after consultation with the external adviser.**
- 6.3 **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, will be equitable in relation to other teachers with similar roles and responsibilities and will be appropriate to the teacher's role and level of experience. The appraiser and teacher will seek to agree the objectives but, if that is not possible, the head teacher will determine the objectives. Objectives may be revised by agreement if circumstances change.
- 6.4 **The objectives set for each teacher will, if achieved, contribute to the school's plan for improving the school's educational provision and performance and improving the education of pupils at the school.**
- 6.5 **Before, or as soon as practicable after, the start of each appraisal period, each teacher will be informed of the standards against which that teacher's performance in that appraisal period will be assessed.**  
*All teachers should be assessed against the set of standards contained in the document called 'Teachers Standards' published in May 2012. The head teacher or governing body (as appropriate) will need to consider whether certain teachers should also be assessed against other sets of standards published by the Secretary of State that are relevant to them.*
- 6.6 *All teachers, including the head teacher, will have up too but no more than three objectives per cycle, which may include whole school/team objectives.*
- 6.7 *Appraisal is an assessment of overall performance. Agreed appraisal objectives cannot cover the full range of roles/responsibilities and will, therefore, focus on the priorities for an individual. At the review stage there is an*

*assumption that the teacher/head teacher is meeting the requirements of their job description the relevant professional duties and the relevant professional standards.*

## **7. TEACHER STANDARDS**

- 7.1 Under the appraisal arrangements that take effect from 1<sup>st</sup> September 2013, the performance of all teachers, regardless of their career stage, will be assessed against the Teacher Standards. The standards define the minimum level of practice expected of trainees and teachers from the point of being awarded QTS.
- 7.2 The standards against which performance must be assessed in respect of a teacher are set out in the Teachers Standards documents and any other set of standards relating to teachers performance published by the secretary of state as the governing body or head teacher determine as being applicable.
- 7.3 In order to meet the Teacher Standards, a teacher will need to demonstrate that their practice is consistent with the definitions set out in Part 1 (Teaching) and Part 2 (Personal and Professional Conduct).
- 7.4 The Teacher Standards effectively set out a code of good teaching practice and professional conduct and as such, it would seem to be perfectly reasonable for schools to expect all teaching staff to meet the expectations set out in the standards document. Teachers should therefore be evaluated against all the elements set out in the standards and appropriate arrangements need to be in place to achieve a fair and equitable process of evaluation.

## **8. REVIEWING PERFORMANCE**

- 8.1 An interim mid-term review should be carried out to review progress against the objections.

## **9. OBSERVATION/EVIDENCE**



- 9.1 This school believes that observation of classroom practice and other responsibilities is important both as a way of assessing teacher'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. All observation will be carried out in a supportive fashion. (A separate Classroom Observation Protocol is available at Annex 1).
- 9.2 In this school teacher's 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. Schools may wish to be more specific about 'drop in' observations or adopt the Local Authority's agreed protocol relating to classroom activities. Other evidence which may be used includes task observations, reviews of assessment results, internal tracking and moderation within and across schools, pupil voice and evidence supporting progress against teacher standards.
- 9.3 Teachers (including the head teacher) who have responsibilities outside the classroom should expect to have their performance of those responsibilities observed and assessed as part of the appraisal process.
- 9.4 Observations must be carried out by those with QTS.
- 9.5 For appraisal purposes, the governing body is committed to ensuring that classroom and task observation is developmental and supportive and that those involved in the process will carry out the role with professionalism, integrity and courtesy; evaluate objectively; report accurately and fairly; and respect the confidentiality of the information gained.

## **10. DEVELOPMENT AND SUPPORT**

- 10.1 Appraisal is a supportive process which will be used to inform continuing professional development. The schools CPD programme will be informed by the training and development

needs identified during the appraisal process. The school also 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.

- 10.2 The governing body will ensure in the budget planning that, as far as possible appropriate resources are made in the school budget for any training and support.
- 10.3 An account of the training and development needs of teacher in general, including the instances where it did not prove possible to provide any agreed CPD, will form part of the head teacher's annual report to the governing body about the operation of the appraisal process in the school. With regard to the provision of CPD in the case of competing demands on the school budget, a decision on relative priority will be taken with regard to the extent to which; (a) the CPD identified is essential for an appraise to meet their objectives; and (b) the extent to which the training and support will help the school to achieve its priorities. The school's priorities will have precedence. Teachers should not be held accountable for failing to make good progress towards meeting their performance criteria where the support recorded in the planning statement has not been provided.

## **11. FEEDBACK**

- 11.1 Teachers will receive constructive feedback on their performance throughout the year (at a time agreed at the start of the process) 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. Where concerns are raised the teacher will receive appropriate support as part of the appraisal process. The school based support to be offered will be agreed in advance and may include classroom observation alongside other support for example additional

training and visits to other classes. The length of any period of support will be subject to agreement. Where there are concerns the appraiser will meet the teacher formally to:

- give clear feedback to the teacher about the nature and seriousness of the concerns;
- give the teacher the opportunity to comment and discuss the concerns;
- agree any support (eg coaching, mentoring, structured observations), that will be provided to help address those specific concerns.

- 11.2 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.

## **12. TRANSITION TO CAPABILITY**

- 12.1 If after a period of support sufficient progress has not been made, then the school may consider moving to capability. A clear distinction must be made when the teacher moves from the supportive appraisal process to capability.

## **13. ANNUAL ASSESMENT**

- 13.1 **Each teacher's performance will be formally assessed in respect of each appraisal period. In assessing the performance of the head teacher, the Governing Body must consult the external adviser.**
- 13.2 At the end of the cycle, assessment of performance will be on the basis agreed at the beginning of the cycle.
- 13.3 **The teacher will receive as soon as practicable possible following the end of each appraisal period and have the opportunity to comment in writing on a written appraisal report. In this school teachers will receive their written appraisal reports by 31 October (31 December for the head teacher). 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 their objectives and the relevant standards;**
- **an assessment of the teacher's training and development needs and identification of any action that should be taken to address them;**
- **a recommendation on pay where that is relevant** (NB pay recommendations need to be made by 31 December for head teachers and by 31 October for all other teachers).

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

#### **14. APPEAL**

14.1 Any appeal against the contents of the written appraisal report should be made in writing to the head teacher or Chair of Governors in the case of the head teacher, within 10 working days of receipt of the written report.

#### **15. PAY PROGRESSION LINKED TO PERFORMANCE**

15.1 The governing body must consider annually whether or not to increase the salary of teachers who have completed a year of employment since the previous annual pay determination and, if so, to what salary within the relevant pay ranges.

15.2 All pay recommendations should be clearly attributable to the performance of an employee.

15.3 The governing body must decide how pay progression will be determined inline with their agreed pay policy.

15.4 Where teachers are eligible for pay progression, the recommendation made by the appraiser, will be based on an assessment of performance against agreed performance objectives. The evidence to be used to judge performance any include:

- classroom observations
- task observations
- reviews of assessment results
- reviews of lesson planning records
- internal tracking
- moderation within and across schools
- evidence supporting progress against the Teacher Standards
- learning outcomes from head teacher walkabouts

15.4 The decision made by the relevant body will be based on the statutory criteria and guidance set out in the STPCD and the relevant teacher standards.

15.5 Teachers will work with their appraisers to ensure that there is sufficient evidence to support pay recommendations. Teachers will also keep records and review them throughout the appraisal period.

## 16. RETENTION OF STATEMENTS

16.1 Appraisal planning and review statements will be retained for a minimum period of 6 years.

## 17. MONITORING AND EVALUATION

17.1 *The governing body will monitor the operation and outcomes of appraisal arrangements.*

17.2 **The head teacher will provide the governing body with a written report on the operation of the school's appraisal policy annually. The report will not contain any information which would enable any individual to be identified.**

**The report will include:**

- the operation of the appraisal policy;
- the effectiveness of the school's appraisal procedures;
- teachers' training and development needs.

17.3 *The Governing Body is committed to ensuring that the appraisal process is fair and non-discriminatory. The head*

*teacher will report on whether there have been any appeals or representations on an individual or collective basis on the grounds of alleged discrimination under any of the following categories:*

- *Race*
- *Sex*
- *Sexual orientation*
- *Disability*
- *Religion and belief*
- *Age*
- *Part-time contracts*
- *Trade union membership.*

## **18. REVIEW OF THE POLICY**

18.1        **The Governing Body will review the appraisal policy every school year at its Autumn Term meeting.**

18.2        The Governing Body will take account of the head teacher's report in its review of the appraisal policy. The policy will be revised as required to introduce any changes in regulation and statutory guidance to ensure that it is always up to date.

18.3        The Governing Body will seek to agree any revisions to the policy with the recognised trade unions having regard to the results of the consultation with all teachers.

18.4        To ensure teachers are fully conversant with the appraisal, all new teachers who join the school will be briefed on them as part of their introduction to the school.

## **19. ACCESS TO DOCUMENTATION**

19.1        Copies of the school improvement/development plan or SEF (if applicable) can be obtained from the Head teacher.

## **20. CLASSROOM OBSERVATION PROTOCOL**

20.1

All classroom observation will be undertaken in accordance with the appraisal regulations and the classroom observation protocol that is appended to this policy in Annex 1.

## ANNEX 1 - CLASSROOM OBSERVATION PROTOCOL FOR THE PURPOSE OF APPRAISAL

1. *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;*
  - *evaluate objectively;*
  - *report accurately and fairly; and*
  - *respect the confidentiality of the information gained*
2. The total period for appraisal classroom observation arranged for any teacher will have regard to the individual circumstances of the teacher. Observation should be kept to the minimum needed to determine that objectives are met and in accordance with local agreements. The number of observations should be consistent across the school and mindful of the effect on individuals.
3. The arrangements for appraisal classroom observation will be included in the annual assessment and will include the amount of observation, specify its *primary purpose*, any particular aspects of the teacher's performance which will be assessed, the duration of the observation, when during the appraisal cycle the observation will take place and who will conduct the observation.
4. *An appraisal lesson observation shall be a minimum of thirty minutes and the reviewer shall notify the reviewee of the date and timing of appraisal lesson observation at least five working days in advance of the proposed observation.*
5. Where evidence emerges about the reviewee's teaching performance which gives rise to concern during the cycle extra classroom observations may be arranged (see paragraph 10.1 of the Appraisal Policy).
6. Classroom observations for appraisal will only be undertaken by an employee of the school who has QTS.
7. *Classroom observations for appraisal will only be undertaken by those who have had adequate preparation and the appropriate*



*professional skills to undertake observation and to provide constructive oral and written feedback and support.*

8. *Where a judgement is to be made, only one person will carry out the classroom observation.*
9. *Oral feedback should be given as soon as possible after the observation and no later than the end of the following working day. It will be given during directed time in a suitable, private environment.*
10. *Written feedback must be provided within five working days of the observation taking place. If issues emerged from an observation that were not part of the focus of the observation as recorded in the annual assessment these should also be covered in the written feedback.*
11. *The written record of feedback shall 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.*
12. Please refer to the other agreed Sunderland guidance on general classroom observations and visits.

**Signed:** \_\_\_\_\_

**M Acklam**

**Date:** September 2018