



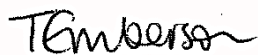
# Three Bridges Primary School

# Appraisal

# Policy

**Approval Date:** November 2018

**Review Date:** October 2026

**Headteacher:** 

## Model Appraisal Policy For Schools

### **1. Aim**

This policy sets out the framework for (a) a clear and consistent assessment of the overall performance of **all school employees**, and (b) to support the development of **all school employees** within the context of the school's plan for improving educational provision and performance, and the standards expected of employees.

### **2. Scope**

This policy covers all employees at the school with the exception of:

- Those employed for less than one term;
- Teachers undergoing induction or support staff in their probationary period (e.g., newly qualified teachers and new starters);
- Employees who are subject to the Capability Policy.

For teachers there are certain legislative requirements which must be adhered to, shown in **bold**. Teachers holding QLTS status may be subject to this policy, but it is not mandatory.

**Note:** the requirements shown in bold are not mandatory in academies.

### **Academies (where the WSCC Model Policy has been adopted)**

For some academies, staffing matters are the responsibility of the Board of Trustees. Where this is the case, the terms "governance board" or "governors" should be read as "Board of Trustees" or "Trustees".

### **3. Purpose Of Appraisal**

At this school, appraisal is a supportive and developmental process designed to ensure that all employees have the skills they need to carry out their role effectively, and access to the training and education required to fully develop those skills. For teachers, appraisal will help them to ensure that they are able to continue to improve their professional practice and to develop in their role.

### **4. Appraisal Period**

**The appraisal period will run for twelve months from October to October for leadership team and teachers.**

**The appraisal period will run for twelve months from April to April for support staff.**

In certain circumstances, it may be necessary to set a shorter or longer appraisal period, for example when an employee begins or ends employment with the school or a change in their role.

Employees 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 the objectives should also take the length of contract into account.**

### **5. Appointment Of Appraisers**

**The headteacher will be appraised by the governance board, supported by a suitably skilled and/or experienced external adviser who has been appointed by the governance board for that purpose.**

The task of appraising the headteacher, including the setting of objectives, will be delegated to a sub-group consisting of two members of the governing board.

If the headteacher believes that any of the governors appointed as an appraiser is unsuitable to act as an appraiser they may submit a written request for that governor to be replaced, stating the reasons for the request.

The headteacher will determine who will appraise other employees.

**Note:** it is important that appraisers are trained and are familiar with this policy.

If the appraiser is absent for the majority of the appraisal cycle the headteacher may appoint another appraiser or take on the role of appraiser. Likewise, where an individual is experiencing difficulties, the headteacher may take on the role of appraiser.

Where an employee has an objection to the choice of appraiser the headteacher will consider their concerns and where required appoint an alternate appraiser.

## ***6. Setting Objectives And Specifying Standards***

**The headteacher's objectives will be set by the governance board after consultation with the external adviser and the headteacher.** The governance board has a duty to have regard to the work-life balance of the headteacher, and objectives will reflect this.

**Objectives will be set before, or as soon as practicable after, the start of each appraisal period.** The objectives set will be SMART (Specific, Measurable, Achievable, Realistic and Time-bound) and will be appropriate to the employee's role and level of experience. The appraiser and employee will seek to meet and agree the objectives but, if agreement is not possible, the appraiser will determine the objectives. Objectives should be revised if circumstances change. **Note:** for additional information relating to the setting of objectives for teachers refer to the Setting Objectives section of the document titled "[Teacher Appraisal and Capability Model Policy for Schools](#)".

**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 the school.** This will be ensured by quality assuring all objectives against the school improvement plan.

**Before, or as soon as practicable after, the start of each appraisal period, each employee will be informed of the standards against which their performance in that appraisal period will be assessed.**

**All teachers will be assessed against the Teachers' Standards,** to a level that is consistent with what should be reasonably expected in the relevant role and at the relevant stage of their career.

When setting objectives (including the number), appraisers will have regard to what can reasonably be expected in the context of the employee's role, responsibilities, and experience, consistent with the school's aim to achieve a work-life balance for everyone working at the school.

An individual employee's objectives are not intended to cover the full range of their responsibilities but should focus on the school's priorities for the appraisal period.

The objectives will contain a description of what is required for the objective to be successfully met (success criteria).

The objectives and the standards to be achieved will be documented.

Any learning and development needs, including those that are to be carried forward from the previous appraisal cycle or are identified as part of the objective setting process, will also be documented along with a description of how they will be met during the appraisal period.

Any targets that are set for individual employees, or a sample of targets, will be moderated across the school to ensure fairness and consistency and that all appraisers are working to the same standards.

### **7. Reviewing Performance**

The performance of all employees and the progress they are making towards achieving their objectives will be reviewed regularly through interim review meetings, observations, and feedback.

**Note:** all review meetings should be set-up with fair notice to allow effective preparation time for both the employee and the appraiser (5 working days). Meetings should be held at a mutually convenient time, in a suitable location and for a suitable duration.

**Note:** it's important for schools to review, and adjust as necessary, an employee's objectives when they change role during the appraisal cycle. In addition, in such circumstances the school should consider whether the appraiser also needs to be changed. Ensure that the progress made against any objectives which are not carried forward with a change of role is fully discussed, agreed and documented.

The document titled ["Implementing Your School's Approach To Pay"](#) states that assessments may be based on evidence from a range of sources – for example self-assessment, peer review, tracking pupil progress and lesson observations. The collection of evidence should be proportionate and not increase workload for employees, (for example, teachers should NOT be asked to produce written evidence against each of the Teachers' Standards).

#### **Interim (Mid-Year) Review Meetings**

Interim (Mid-Year) Review Meeting provides a formal opportunity for the employee and the appraiser to take a checkpoint during the review period and to review progress against the objectives and standards, and the employee's learning and development needs.

Updates on progress against objectives and standards, the learning and development needs, plus any actions and changes agreed during the Interim Review Meeting between the employee and the appraiser must be documented. This will be recorded on Lessons Learned.

If the view of the appraiser at an Interim Review Meeting is that the employee is not making sufficient progress towards the achievement of their objectives, or is not meeting the required standards, their concerns should be addressed as described in the Feedback section below.

If relevant, the employee should also be advised by their appraiser that based on their current performance and if insufficient progress is made they would not be able to recommend pay progression at the end of the year. See the Pay Progression section below for more specific information on teachers and support staff.

Where an employee has been unable to fully meet their objectives or the required standards and support has been identified but not yet provided or completed, this will be taken into account by the appraiser at the Interim Review Meeting.

#### **Observation**

This school believes that observation of classroom practice and other responsibilities is important as a way of assessing all of our employees' performance in order to identify any particular strengths and areas for development they may have, gaining useful information which can inform school improvement more generally and enabling our employees to learn from each other and collaborate. All observations will be carried out in a supportive fashion and will not add to employees' workload. Teachers will receive no more than 3 hours of formal observation per academic year (unless a support plan is involved).

## **Feedback**

All employees will receive constructive feedback on their performance throughout the year, verbal feedback should be given as soon as possible and confirmed in writing within 5 working days after an observation has taken place or other evidence has come to light.

Feedback will highlight particular areas of strength as well as any areas that require attention.

## **Supportive Interventions**

Where there are concerns about any aspects of an employee's performance these will be raised with them at the earliest opportunity.

The objective is to provide them with support and guidance in such a way that their performance improves and the problem is resolved.

Support will be offered as soon as possible without waiting for the formal annual assessment. This is particularly important where there are indications that an employee's overall performance means they are not making sufficient progress towards the achievement of their objectives, or they are not meeting the required standards.

The headteacher or a member of the leadership team will meet with the employee to:

- Give clear feedback to the employee about the nature and seriousness of the concerns.
- Give the employee the opportunity to comment and discuss the concerns.
- Set clear objectives for required improvement.
- In consultation with the employee, agree an action plan including any support (e.g., coaching, training, mentoring, in-class support, structured observations, visits to other classes or schools or discussions with other experienced employees), that will be provided to help address those specific concerns.
- Make clear how, and by when, the appraiser will review progress (Interim/Mid-Year review).
- Explain the implications and process if no, or insufficient, improvement is made – e.g., impact on pay progression and potential move to formal capability. When progress is reviewed, if the appraiser is satisfied that the employee 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.

The employee's progress will continue to be monitored as part of the appraisal process and a reasonable time given for their performance to improve. This will depend upon the circumstances with appropriate support provided as agreed in the action plan. During this monitoring period the employee will be given regular feedback by the appraiser on progress and arrangements will be made to modify the support programme if appropriate.

If sufficient progress is made such that the employee is performing at a level that indicates there is no longer a possibility of capability procedures being invoked, they should be informed of this at a formal meeting with the appraiser or headteacher. Following this meeting the appraisal process will continue as normal. If insufficient progress has been made, please refer to the transition to capability section below.

## **8. Annual Assessment**

**Performance will be formally assessed in respect of each appraisal period. In assessing the performance of the headteacher, the governance board must consult the external adviser.**

This assessment is the end point of the annual appraisal process. **The employee will receive as soon as practicable following the end of each appraisal period – and have the opportunity to comment in writing on - a written appraisal report.**

In this school, teachers and support staff will receive their written appraisal reports by 30<sup>th</sup> September. **The appraisal report will include:**

- The overall assessment of their performance.
- Details of the objectives for the appraisal period in question.
- **An assessment of the employee's performance of their role and responsibilities against their objectives and the relevant standards.**
- **An assessment of their training and development needs and identification of any action that should be taken to address them.**
- **A recommendation on pay where that is relevant**, based on the overall assessment of performance, in accordance with the school's pay policy (**Note: pay recommendations need to be made in good time in order to meet the deadlines of 31 December for headteachers and by 31 October for other teachers**).

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

- Provide opportunities for the appraiser and employee to give and receive feedback
- Provide opportunities to openly discuss and reflect; what went well, what didn't go well and what could be done differently?
- Staff will have the opportunity to comment and sign off their review. This is stored on Lessons Learned.

### ***9. Professional Development***

Appraisal is a supportive process which will be used to determine decisions on pay progression and inform continuing professional development. The school wishes to encourage a culture in which all employees take responsibility for improving their performance through appropriate professional development.

Professional development will be linked to school improvement priorities and to the ongoing professional development needs and priorities of individuals.

### ***10. Pay Progression***

Where teachers are eligible for pay progression the assessment of performance against agreed objectives will inform the recommendation, which will be made with reference **to the criteria contained within the agreed pay policy** for the school and the relevant teacher standards.

- Annual progression for support staff is subject to satisfactory performance. The governance board may also award additional increments in accordance with the agreed pay policy.

### ***11. Transition To Capability Policy***

It is expected that concerns about performance (except serious concerns which will be handled much sooner) will have been discussed with the employee, and an appropriate framework of support will have been put in place to help them achieve the required standard before moving into the Capability Policy (see Feedback and Supportive Intervention sections above).

If performance does not improve despite the measures put in place or if there are serious concerns about performance, the employee will, after meeting with their appraiser to discuss this, be notified in writing that the Appraisal Policy will no longer apply and that their performance will be managed under the Capability Policy. They will be invited to a formal capability meeting. The capability procedures will be conducted in accordance with the school's Capability Policy.

The Capability Policy may be initiated at any time during the appraisal cycle.

For teachers: the expectation is that where a teacher's overall performance at the end of the year has been assessed as 'requires improvement', and significant progress has not been made against the support plan

(and there are insufficient mitigating circumstances), then the school should consider managing the teacher's performance under the formal capability procedure.

If the teacher's overall performance at the end of the year has been assessed as 'inadequate', it is expected that supportive interventions will have failed and that the teacher's performance should be managed under the formal capability procedure.

## **12. General Provisions**

### **Consistency of Treatment and Fairness**

The governance board is committed to ensuring consistency of treatment and fairness and will abide by all relevant equality legislation and will ensure that reasonable adjustments are put in place where necessary.

### **Confidentiality & Professional Relationships**

The outcomes of the appraisal process will be treated with confidentiality and access to the content of the appraisal document will be restricted to only those in the line management chain who need to know.

The process of gathering evidence for performance review will not compromise normal professional relationships between employees. The governance board recognises that the reviewer will consult with, and seek to secure the agreement of an employee, before seeking information from other colleagues about their work.

However, the desire for confidentiality does not override the need for the headteacher and governance board to quality-assure the operation and effectiveness of the appraisal system. The headteacher or appropriate colleague might, for example, review all teachers' objectives and written appraisal records personally to check consistency of approach and expectation between different appraisers.

### **Monitoring and Evaluation**

The governance board and headteacher will monitor the operation and effectiveness of the school's appraisal arrangements. The headteacher will provide the governance board with a written report on the operation of the school's appraisal and capability policies annually.

The headteacher will report on whether there have been any appeals or representations on an individual or collective basis on the grounds of alleged discrimination.

### **Retention**

The governance board and headteacher will ensure that all written appraisal records are retained in a secure place for six years and then destroyed.

## **13. Document History**

This policy document came into force on 1st September 2013. It was developed in response to the document titled "[Teacher Appraisal and Capability Model Policy for Schools](#)" which was originally published in May 2012 and the document titled "[Teachers' Standards](#)" which was originally published in July 2011. It has been updated to be in line with relevant subsequent changes to these documents and the document titled "[School Teachers' Pay and Conditions Document \(STPCD\)](#)".

Written by:	HR Policy & Practice Team (LRW/FR).
Issued:	July 2012.
Effective from:	1 September 2013.
Revisions:	First edition 1 <sup>st</sup> September 2012. Revised January 2013 (to include academies). June 2013 (to include changes to STPCD). September 2017 (general review).

1 February 2019 (general review, cosmetic / consistency / signposting changes to text and update of hyperlink title to 2018 document. Changes made by KMG, Specialist HR Services).

Reviewed:

March 2020 NH SHRS (no changes)

Sense checked:

May 2020 KMG SHRS

Updated:

July to September 2022 KMG SHRS - various changes made to bring the document in line with the latest version of the DfE document titled 'Teacher Appraisal and Capability A Model Policy For Schools', plus tidy up of the text to ensure it flows properly, reads better and makes sense, a re-ordering of some paragraphs, various changes to improve consistency e.g., 'Head Teacher' changed to 'headteacher', 'staff' changed to 'employees', 'governing body' changed to 'governance board' and headings structure cleaned up and numbered.

19/10/2022 document finalised by KMG SHRS as part of the Teachers' Pay Award cycle 2022.

END OF DOCUMENT