



EAST RIDING
OF YORKSHIRE COUNCIL

Teacher and Support Staff 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 Appraisal Regulations set out the principles that apply to members of staff in all maintained schools and unattached members of staff employed by a local authority, in each case where they are employed for one term or more.

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 policy has been written in the context of schools, but the same principles apply to unattached members of staff. It is equally recommended for use with support Staff. It is recommended for schools to consult staff on their appraisal and capability policies. This model policy has been provided as an optional resource for schools and others to which they can refer as they wish as they review and develop their own policies.

The model policy covers appraisal, pay progression and dealing with under performance

On 1 September 2012, it replaced the statutory guidance "Capability Procedures for Teachers" that was issued in July 2000. The Formal Capability Policy and Procedures apply only to members of staff and head teachers about whose performance there are serious concerns that the appraisal process has been unable to address.

In the model policy:

Text in bold indicates 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 for schools.

Model policy for appraising the performance of members of staff, pay recommendations and dealing with under performance issues

Purpose

This policy sets out the framework for a clear and consistent assessment of the overall performance of members of staff, including the head teacher, and support staff, for supporting their development within the context of the school's plan for improving educational provision and performance, and the standards expected of all employees in this school. It also sets out the arrangements that will apply when any member of staff falls below the levels of competence that are expected of them.

Application of the policy

This policy, covers appraisal, applies to the Executive Headteacher and to all members of staff including support staff, employed by the school or local authority, except those on contracts of less than one term, those undergoing induction (*ie ECTs*) and those who are subject to the capability policy.

The capability policy sets out the formal capability procedure and applies only to those members of staff (including the Executive Head Teacher) about whose performance there are serious concerns that the appraisal process has been unable to address.

Appraisal

Appraisal in this school will be a supportive and developmental process designed to ensure that all members of staff have the skills and support they need to carry out their role effectively. It will help to ensure that members of staff are able to continue to improve their professional practice and to develop in their roles.

The appraisal period

The appraisal period will run for twelve months from October to *October*.

Members of staff who are employed on a fixed term contract or supply arrangement of at least one term but less than one year 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.**

Appointing appraisers

The Executive Head Teacher will be appraised by the Governing Body, supported by a suitably skilled and/or experienced external adviser who has been appointed by the Governing Body for that purpose.

The Head of School will be appraised by the Executive Head Teacher, supported by a representative from the Governing Body within the review.

The task of appraising the Executive Head Teacher, including the setting of objectives, will be delegated to a sub-group consisting of three (*with a quorum of two*) members of the Governing Body. In a Church School, at least one of these Governors should be a Foundation Governor.

The Executive Head Teacher and Head of School will decide who will appraise other members of staff, taking into account the roles and responsibilities of both appraisers and appraisees.

Setting objectives

The Executive Head Teacher's objectives will be set by the Governing Body after consultation with the external adviser.

Objectives for each member of staff will be set before, or as soon as practicable after, the start of each appraisal period. The objectives set for each member of staff, will be Specific, Measurable, Achievable, Realistic and Time-bound and will be appropriate to the member of staff's role and level of experience.

The appraiser and member of staff will seek to agree the objectives but, if that is not possible, the appraiser will determine the objectives. Objectives may be revised if circumstances change.

The objectives set for each member of staff 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 this school. In this school, each member of staff will have three objectives. At least two of these objectives will be directly linked to the school development plan, adapted to suit the particular role and responsibilities of that teacher. One of these

objectives may be of a personal nature linked to the career aspirations of the member of staff concerned.

The Head of School will monitor planning statements for each member of staff in order to ensure consistency and relevance both to the School Improvement Plan and to the individuals concerned.

Before, or as soon as practicable after, the start of each appraisal period, each member of staff will be informed of the standards against which that member of staff's performance in that appraisal period will be assessed. *All teachers should be assessed against the teachers' standards and framework contained in the Schools Pay Policy. The Executive Head Teacher or governing body (as appropriate) will need to consider whether certain members of staff should also be assessed against other sets of standards published by the Secretary of State that are relevant to them.*

Assessment of performance

The assessment of a teacher's performance, in line with the school's pay policy, will comprise a judgement of overall performance as well as achievement of the appraisal objectives. "Overall performance" may be assessed using evidence from, for example, the following sources:

- Self assessment
- Peer review
- Tracking pupil progress
- Lesson observation
- Views of parents, carers and pupils (supported by professional evidence)

Judgements should be made against both **conditional** and **absolute** criteria.

Conditional criteria are those which are exhibited in the behaviours of teachers who comply with the requirements of the Professional Standards; such behaviours are observable, but not necessarily quantifiable. They will usually be measured through appraisal objectives

Absolute criteria are those which can be clearly measured, and should form at least part of the evidence submitted by the teacher as proof of overall performance. There are two effective quantifiable data measures

1. pupil progress

A judgement should be made, against expectations determined by the school, of the extent to which pupils make progress:

- Broadly in line with expectations: which would lead to a judgement of "requires improvement"
- Better than expected which would lead to a judgement of "good"
- Significantly better than expected which would lead to a judgement of "outstanding."

2. lesson observation outcomes

A judgement should be made about the extent to which teaching is habitually observed which

- requires improvement
- is good
- is outstanding

Lesson 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 observation will be carried out in a supportive way.

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. Classroom observation will be carried out by those with QTS. In addition to formal observation, head teachers or other 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. The Lesson Observation Protocol also contains guidance on the conduct of drop-ins.

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

Development and support

Appraisal is a supportive process which will be used to inform continuing professional development. The school wishes to encourage a culture in which all members of staff 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 member of staff.

Feedback

Members of staff will receive constructive feedback on their performance throughout the year 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. These will normally be dealt with under the appraisal process.

Where continuous improvement in any aspects of the member of staff's performance are required, the appraiser will meet the member of staff formally.

The member of staff should be advised that it would be appropriate to consult with Trade Union representative or professional friend.

At this meeting the appraiser will:

- give clear feedback to the member of staff about the nature and seriousness of the concerns;
- give the member of staff the opportunity to comment and discuss the concerns;
- agree any support (e.g. coaching, mentoring, structured observations), that will be provided to help address those specific concerns;
- make changes, where appropriate to the member of staff's appraisal objectives, so that they better reflect the areas for concern;
- make clear how, and by when, the appraiser will review progress (*this will normally be a period of six to twelve weeks, depending on the nature and seriousness of the concerns identified, but must be sufficient to allow the member of staff to demonstrate improvement*);

- explain the implications and process if no – or insufficient – improvement is made.

When progress is reviewed, if the appraiser is satisfied that the member of staff 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.

Transition to capability

If the appraiser is not satisfied with progress, the Executive Headteacher should first seek advice from Human Resources or the LA Achievement and Inclusion Service, and contact their own Trade Union.

It would be appropriate for the Executive Headteacher at this point to invite a mutually agreed external adviser, such as the School's Improvement Advisors, to assess the teacher's performance.

If the Executive Headteacher and the external adviser are in agreement that the member of staff has made insufficient progress against the identified concerns, the member of staff will be notified in writing that the appraisal system will no longer apply and that their performance will be managed under the capability policy and procedure, and will be invited to a formal capability meeting.

Annual assessment

Each member of staff'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.

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 year in interim meetings which will take place once a term.

The member of staff 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, each member of staff will receive their written appraisal report by 31 October (31 December for the head teacher). **The appraisal report will include:**

- details of the member of staff's objectives for the appraisal period in question;
- **an assessment of the member of staff's performance of their role and responsibilities against their objectives and the relevant standards;**
- **an assessment of the member of staff's training and development needs and identification of any action that should be taken to address them;**
- **a recommendation on pay in respect of progression for performance related pay purposes** (NB – pay recommendations need to be made by 31 December for head teachers and by 31 October for other members of staff);
- **Appeal process**

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