

DAWLISH FEDERATION OF SPECIAL SCHOOLS

**Appraisal Policy for Teachers and
Headteachers in Schools**

Version: September 2013

For further advice & guidance in relation to this policy, please contact HR ONE at hrdirect@devon.gov.uk or on 01392 385555.

**This policy was adopted by Dawlish Federation of Special Schools Governing
Board**

26th September 2016

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A. Introduction and purpose

A.1. Responsibility for the application of the Appraisal Policy, aims and purpose

This policy applies to all teachers (including the Headteacher) employed for one term or more, with the exception of Newly Qualified Teachers or teachers who are being managed under capability procedures.

It is the responsibility of the Governing Body and the Headteacher to ensure that all teachers, including the Headteacher, are aware of this policy (through the school's internal communication systems); plans the school has for improving and/or developing standards of education; the expected standards of performance and relevant professional standards for teachers; the link between performance and pay progression.

This policy should be read and used in conjunction with the school's Pay Policy.

A.2. Consultation

Following consultation with professional associations this model policy is provided for the Governing Body to consider for adoption. Should the Governing Body wish to make any changes to this policy, the school will be required to consult with the County Officials of the recognised professional associations.

A.3. Costs

The Local Authority will normally meet the legal costs of defending any claim against any Community, Voluntary Controlled, Voluntary Aided or Foundation school provided that the school has sought and considered the advice of HR ONE. Schools that do not subscribe to this service and/or do not seek or consider advice given by the HR Service must ensure that they have adequate financial resources to cover any costs arising from any subsequent claims. In any circumstances, schools should be aware that any compensatory payments awarded will be charged to the school budget.

A.4. Legislative Base

This Policy takes into account the Education (School Teachers' Appraisal) (England) Regulations 2012 (which supersedes the Education (School Teachers Performance Management) (England) Regulations 2006), the Education Act 2002, the ACAS Code of Practice for disciplinary and grievance procedures and any National and/or Professional Standards for Teachers.

A.5. Terminology

For ease of reference, the term "teacher" includes and applies to the Headteacher. If (Committee) is following the word 'Appraiser' the Headteacher's Appraisal Committee will be responsible for the application of the process for the Headteacher. If "(Chair of Governors)" is following the

word 'Headteacher' the Chair of Governors or nominated representative will manage this policy in relation to the Headteacher.

A.6. Timings

Time limits in this Policy take into consideration the statutory requirements as stated in the 2012 Regulations.

This Policy makes reference to a number of 'days' within which employees and/or managers are required to take action e.g. provide notice of meetings, provide documentation, etc. A 'day' is defined as any Monday to Friday excluding public holidays as defined by ACAS.

B. Equality

The Governing Body and the Headteacher have a particular responsibility to ensure that the processes described in this Policy are managed fairly, equitably, objectively and must not discriminate either directly or indirectly on the grounds of a person's race, sex, gender reassignment, sexual orientation, marriage or civil partnership, disability, age, pregnancy and maternity or religion or belief.

C. Policy

C.1. Duty to Act

The Governing Body has a statutory duty to ensure that there is a written appraisal policy for teachers which provides a consistent process for the appraisal of all teachers, including the Headteacher.

Recognising that each teacher may require different training and support at various stages of their career, the Governing Body is committed to ensuring that each teacher performs effectively by meeting the professional standards and in accordance with their contract of employment.

This will be achieved through:

- a) clarity of the required standards of performance (as stated in relevant professional standards) and in line with the school's plan for improving/developing the education for the children;
- b) consideration for the teacher's professional development needs;
- c) monitoring the performance of teachers within the school;
- d) supporting and managing teachers appropriately.

C.2. Definition of Appraisal

Appraisal provides a platform to recognise excellence in performance as well as identify areas for improvement - leading to good and excellent teaching and learning across the school. It involves making sure that the performance of each teacher contributes directly to supporting the school improvement plan and the successful achievement of the school as a whole. It is the opportunity for school managers to set reasonable objectives linked to professional standards, development needs and career goals, with relevance to school priorities and plans for improving educational provision and performance.

Appraisal is a developmental process in which both the line manager and the teacher engage in professional dialogue about the teacher's performance, achievements, areas for improvement and/or acknowledges formally where performance is exceptionally good.

The teacher's performance will be monitored and reviewed throughout the appraisal period and developmental feedback regarding achievement of objectives or where performance is below the expected requirement will be provided by the Appraiser.

D. Confidentiality

Appraisal should be treated as confidential between the teacher, the Appraiser (Committee) and the Headteacher (Chair of Governors) except where statutory obligations exist, when disclosure is necessary for the protection of children and/or for the effective management in the school and/or as may be required by law or for the purposes of obtaining appropriate professional advice.

All parties involved in appraisal will be expected to maintain appropriate levels of confidentiality. Breaches of confidentiality will be taken very seriously and may result in disciplinary action being taken.

E. Record keeping standards

A written record must be made of any meetings held during the application of this policy. Those involved in each meeting will be provided with a copy of any relevant documentation.

The Appraiser will ensure that the appraisal report is retained along with copies of any additional evidence and/or information which have been considered during the review of performance.

The teacher should provide information and evidence to support continuing professional development and this should be reasonably up-to-date. The Appraiser may also provide any relevant information.

All management records will be retained confidentially, securely and in accordance with the Data Protection Act (1998).

F. General Principles

F.1. Being Accompanied at Meetings

There is no statutory right to be accompanied at any appraisal meeting. The appraisal process is intended to support two-way conversations between the Appraiser (Committee) and the teacher (Headteacher).

F.2. Human Resources advice

HR ONE can provide advice and support to any school manager/governor involved in the application of this policy.

F.3. Support for the teacher during the application of this policy

Consideration must be given to any reasonable request for support to assist a teacher to meet the applicable professional standards.

F.4. External assessment of a teacher's performance

Any external assessment of a teacher's performance should be considered when reviewing a teacher within the appraisal period. Other relevant evidence should be used alongside external assessment information to determine whether or not the teacher meets professional standards and in some cases, appraisal objectives.

G. Complaints related to the application of this policy

Complaints relating to the application of the appraisal process (including the setting of objectives) or people involved, will be managed as part of the appraisal process and should be raised as soon as the issue occurs either verbally or in writing with the Appraiser. In most cases, the Appraiser should be able to deal with the complaint. In exceptional circumstances, it may be appropriate to suspend the appraisal process for a short period while the complaint is looked into.

Where the teacher is repeating a complaint which has been made, considered and rejected in the course of the appraisal process, the Headteacher (Chair of Governors) may refuse to consider the matter again under any policy.

H. Issues unrelated to the application of this policy

If the teacher has a complaint unrelated to the application of this policy, it will be dealt with appropriately under the relevant mechanism, in parallel, and the appraisal process will continue as normal.

There may be occasions where other HR processes are being applied to the teacher e.g. managing his/her absence. In all but the most exceptional circumstances, the application of this policy should run concurrently with the application of any other policy with the exception of any capability issue.

I. Preparation for appraisal

I.1. The Governing Body's responsibilities

The Governing Body will select a committee of Governors who will be known as the Appraisal Committee to be responsible for the appraisal of the Headteacher. The Governing Body will also appoint an appropriately skilled and experienced external adviser to advise and support the Appraisal Committee to appraise the Headteacher.

When making a determination regarding the Headteacher's pay, the Governing Body will consider recommendations from the Appraisal Committee following the most recent appraisal review of the Headteacher. Any determinations will be made in line with the most recent national provisions including School Teachers' Pay and Conditions Document (STPCD) and the school's Pay Policy.

The Governing Body will ensure that the Headteacher has assigned an appropriate person to carry out the appraisal of each teacher employed at the school. The Appraiser may be the Headteacher.

The Governing Body will review the school's Pay Policy on an annual basis to consider changes to national and statutory arrangements for pay. Such changes will be communicated formally to all employees together with information on how the appraisal process will inform discretionary pay determinations of the Governing Body where appropriate.

I.2. The responsibilities of the Appraisal Committee

The Headteacher's Appraisal Committee will obtain professional guidance and advice from the external adviser on setting appropriate objectives for the Headteacher.

The Appraisal Committee will ensure the timely application of the process including the review of performance against the relevant professional standards and objectives and in accordance with this policy.

On completion of the Headteacher's appraisal, the Headteacher's Appraisal Committee will report back to the appropriate committee of the Governing Body to enable pay determinations to be made.

I.3. The Headteacher's responsibilities

The Headteacher must participate fully in the appraisal process, liaising with the Headteacher's Appraisal Committee as required. The Headteacher should ensure that his/her own performance leads to continued improvement in the education provision.

The Headteacher must ensure each teacher employed at the school has an Appraiser. Depending on the leadership structure in the school, this may be the Headteacher. Due regard will be given to the number of teachers allocated to an Appraiser and adequate time should be available to the Appraiser to carry out his/her responsibilities under this policy.

The Headteacher will make the professional standards, relevant school plans and performance expectations available to teachers and Appraisers. The Headteacher should ensure that, where other managers are nominated as Appraisers in addition to the Headteacher, a consistent understanding of school priorities and professional standards exists and that objectives align with the standards and school plans.

The Headteacher will monitor appraisals across the school to ensure that the process has been applied fairly, consistently and in accordance with this policy. The Headteacher will report to the Governing Body on an annual basis detailing professional training and development needs across the school together with recommendations for discretionary pay determinations for individual teachers if appropriate.

The Headteacher will ensure that there is a confidential storage area in the school for appraisal reports and associated documentation.

I.4. The Appraiser's responsibilities (This may be the Headteacher)

The Appraiser is responsible for arranging and managing the appraisal process for each teacher assigned in a fair and equitable way. The Appraiser will ensure that the full appraisal process is documented, evidence is retained and kept in a confidential, secure location as assigned by the Headteacher.

Where the Appraiser is not the Headteacher, the Appraiser will liaise with the Headteacher to ensure the relevant professional standards, school priorities and influencing factors which should be considered when setting appraisal objectives are known.

When setting appraisal objectives, the Appraiser will consider any implications on the teacher's workload.

The Appraiser will ensure the teacher understands the expected standards of performance and the implications of failing to meet such standards, and clarify the performance expectations required to ensure pay progression. Reference should be made to the Pay Policy. Any concerns relating to the teacher's performance should be raised as soon as possible within the appraisal process. Reasonable and appropriate support should be offered to the teacher. The concerns and support offered should be documented and retained in the appraisal report in a confidential location. The teacher's health and well-being will also be considered.

Where a teacher fails to meet the expected standards of performance after reasonable levels of support have been offered, the Appraiser should refer the matter to the Headteacher. The Headteacher should invoke the Capability Policy for Schools at this stage.

I.5. The teacher's responsibility

Each teacher has a statutory responsibility to contribute fully in the appraisal process. Teachers must perform well and contribute to improving and sustaining a good educational provision for children in the school.

Teachers will ensure that they fully prepare for both the review of their previous appraisal objectives and the setting of new appraisal objectives for the next appraisal period. This should include being aware of all relevant professional standards that apply to their role in the school.

Teachers will gather and provide all relevant evidence as agreed and recorded on their appraisal form.

J. The Appraisal Process

J.1. The Appraisal Period

The appraisal period will be for a period of 12 months fromto.....*(Governing Body to insert dates)*

Where a teacher (including the Headteacher) commences employment after the start of the appraisal period determined by the Governing Body, the teacher's initial appraisal period will be set so that future appraisals align with the school's appraisal period.

Teachers who are employed on fixed term contracts of less than one year but more than a term will have an appraisal period linked to the duration of their fixed term contract.

Should a teacher leave employment prior to the completion of the appraisal period, any review should take into consideration the shortened time scale.

Where a teacher has been absent during the appraisal period, there will be a review of the appraisal objectives. The objectives may be adjusted in order to ensure they are relevant and suitable for the remainder of the current appraisal period.

A teacher's appraisal period will not be delayed or started again in the event of a change in the Appraiser.

J.2. The Appraisal Meeting

J.2.1. Meeting context

The appraisal meeting should be held in a confidential location, free from interruption and focus solely on the Appraisal Process.

Professional dialogue will take place between the Appraiser and the teacher so that both can discuss the teacher's performance.

J.2.2. Meeting content

There are two steps to the appraisal meeting:

1. Step One - Appraisal Review

An evaluation of a teacher's performance against the Teachers' Standards and attainment towards objectives set in the previous appraisal period.

2. Step Two - Appraisal Planning

Setting of new appraisal objectives for the new appraisal period.

Professional development needs should be fully considered during both review and planning stages.

J.2.3. Timings of Appraisal Meetings

The appraisal meeting will be held just prior to or as soon as reasonably possible after, the commencement of a new appraisal period.

The Appraiser will arrange and facilitate the appraisal meeting. The meeting will be held within Directed Time but must not be held at a time which has been scheduled for PPA and consideration should be given to a reasonable lunchbreak.

The Appraiser will give the teacher at least five days notice of the appraisal meeting to enable the teacher to prepare for the meeting.

If circumstances determine, Appraisal Review and Appraisal Planning can be conducted in separate meetings.

J.3. Step One - Appraisal Review

The Appraiser will provide the teacher with constructive feedback on performance throughout the year. Feedback will also be given as soon as practicable after any 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. Evidence will be produced and provided by both the Appraiser and the teacher to support the performance of the teacher.

The Appraiser will examine all the evidence; consider any comments or additional information provided by the teacher prior to making a determination as to whether the teacher has:

- met the appropriate professional standards
- achieved the appraisal objectives
- achieved the teacher's professional development needs
- contributed significantly to improving standards at the school and should be recommended for any discretionary pay determination.

The Appraiser will confirm and record the Appraiser's determinations on the **appraisal report** giving reasons for each determination along with a record of any relevant evidence supporting each determination. Recommendations on pay progression must also be noted on the appraisal report.

The teacher will be provided with a copy of the appraisal report within five days of the appraisal review and can make comments on the appraisal report.

A copy should be retained by the Appraiser and a copy given to the teacher.

Where the teacher considers that the Appraiser's determination is unfair, the teacher should put any concerns in writing, which will be appended to the

appraisal report. Should the teacher's concerns be in relation to any recommendation for discretionary pay progression, the teacher's written concerns should also be submitted to the Governing Body's Pay Committee by way of an attachment to the Headteacher's report which should make recommendations on each pay determination for each teacher in the school.

J.4. Step Two - Appraisal Planning

The Appraiser and the teacher will set appraisal objectives for the next appraisal period. This will consider the developmental needs of the teacher.

The Appraiser and the teacher should ensure the teacher has a clear understanding of the performance standards expected and how this links to pay progression. Reference should be made to the adopted pay policy and/or any specific school protocol relating to pay progression according to performance. Where necessary, the Appraiser should provide clarity on where improvements to performance are required to meet the relevant professional standards and the school's plans.

The Appraiser will record the following detail on the appraisal report for each appraisal objective:

- The appraisal objective
- The support offered
- Resources and facilities available
- The evidence required
- Who will be responsible for obtaining the evidence
- The timescale in which evidence should be submitted
- The desired outcome to achieve the appraisal objective.

J.4.1. Setting Appraisal Objectives

Objectives must be specific, measurable, achievable, realistic and time-scaled. The number of objectives and depth of achievement should be reasonable considering the working pattern of the teacher and set in accordance with:

- Professional standards
- Contributing to improving the quality of the education of the pupils at the school
- The school development and/or improvement plan.
- The school self evaluation
- The role and responsibilities of the teacher
- The professional development needs of the teacher
- The health, safety and wellbeing of the teacher
- Where pay determinations may be applicable; the objectives that need to be met for consideration.

The Headteacher's objectives will only be set after appropriate advice and guidance from the external adviser.

Objectives should be equitable in relation to teachers with similar roles and responsibilities but must recognise individual developmental needs and performance.

There should be a satisfactory balance between the time needed for the teacher to carry out professional duties and the requirement to achieve and evidence performance objectives.

The Appraiser and the teacher will seek to agree the objectives but, if that is not achievable during the appraisal meeting, the Appraiser will determine the objectives.

Where the teacher experiences a change of circumstances relevant to the teacher's job performance during the appraisal period, the objectives may be revised or altered by the Appraiser appropriately. This may include where there are concerns regarding a teacher's performance are identified.

Where there are concerns that the teacher is not meeting the relevant professional standards, a review should take place and the objectives may be revised by the Appraiser. The teacher should be advised by the Appraiser that it will be necessary for the teacher to provide evidence that s/he meets the professional standards within an acceptable time frame to be set by the Appraiser.

J.4.2. Evidence

When setting the appraisal objectives, the appraiser should ensure that the teacher has an understanding of the type of evidence that would be considered appropriate and how the evidence provided by the teacher will be utilised at the appraisal review. The Appraiser may also provide evidence of the teacher's performance. The Appraiser will ensure that the appraisal report notes the evidence provided and will determine whether or not the evidence provided is appropriate.

Types of evidence that can be used by the teacher and the Appraiser could be:

- Lesson observation feedback sheets
- Written feedback
- Work scrutiny
- External assessment reports
- Pupil data
- Professional development logs, including self assessment and evaluation tools
- Records of professional discussions

(The above list is not exhaustive and other relevant information may be used.)

Evidence may be submitted by the teacher to enable the Appraiser to make a determination of the teacher's overall performance. This may include feedback from other appropriate colleagues where the appraised teacher has contributed to the personal development of the colleague. External assessments and/or information provided by external assessors may be used alongside other information.

J.4.3. Support, training and development

The Appraiser and the teacher should discuss appropriate and reasonable levels of support, training and development opportunities to enable the teacher to meet the appraisal objectives. Additional support may be applied when development is required to meet the relevant professional standards. The Appraiser should confirm the details of what support, training or development opportunities will be available to the teacher, which may include:

- Coaching
- Mentoring
- Additional classroom assistance
- Equipment and/or resources
- Peer support and observations
- Examples of colleagues work
- Professional feedback
- Reorganisation of directed time

J.4.4. Classroom observations

Observation of classroom practice, performance and professional duties will be carried out as part of the appraisal process, where appropriate. Observation will be carried out in accordance with the Classroom Observation Protocol agreed by the Governing Body.

J.4.5. Professional feedback

There should be clear, professional communication between the Appraiser and the teacher. The Appraiser should ensure that positive feedback is given where the performance of the teacher is good or better. Where improvements to performance are necessary, feedback should be constructive, developmental and encouraging but should ensure the teacher is clear about what performance concerns need to be addressed.

A record will be made of the discussions and planned action. A copy of the record will be given to the teacher as well as a copy attached to the appraisal record to be considered as part of the next appraisal review.

J.4.6. Ongoing review and support

During the appraisal period additional meetings between the Appraiser and the teacher may be held. Meetings can be utilised to evaluate progress, review support and establish whether it is necessary to adjust the appraisal objectives. Any changes should be agreed by the Appraiser and recorded on the appraisal report.

K. Concerns about the teacher's performance

Where there are concerns about any aspect of the teacher's performance, the Appraiser or appropriate senior manager will meet the teacher at the earliest opportunity to:

- Communicate to the teacher the nature and seriousness of the concerns about the teacher's performance
- Provide the teacher the opportunity to comment and discuss the concerns;
- Explore whether the teacher has any health or wellbeing issues which may have an impact on performance. Consider whether a referral to Wellbeing@Work may be appropriate. Discuss other support e.g. GP, Counselling
- Ensure support is offered (e.g. coaching, mentoring, structured observations), to enable the teacher to address the concerns and improve his/her performance
- Inform the teacher that his/her performance will be monitored and reviewed and that improvements are expected
- Ensure the teacher is aware that additional monitoring of performance will take place e.g. additional lesson observations Appraisal
- Inform the teacher that if s/he fails to meet the required standards of performance then the Capability Policy for Schools will be invoked
- Schedule a review meeting.

The review period will vary depending upon the circumstances. Generally, it will be a minimum of six weeks to a maximum of a term.

Notes should be taken of the meeting. The Appraiser should draw up an action plan of the support offered, the improvements expected, any revision of objectives and the date of the review meeting which will be signed by both the teacher and the Appraiser and appended to the appraisal report.

Where performance has not improved following additional support being offered or significant/serious concerns are raised regarding a teacher's performance, the Headteacher (Chair of Governors) will consider dealing with the matter under the School's Capability Policy.

L. Teacher incompetence/serious concerns about performance

If any of the following circumstances exist:

- a) the teacher's classroom control is so poor that effective teaching cannot take place

- b) pupils fail to progress as expected in the teacher's lessons
- c) the teacher's performance is seriously below expected standards
- d) the teacher cannot demonstrate the achievement of the majority of objectives despite support being offered
- e) the teacher's performance is consistently poor.

and/or in the case of a member of the leadership team:

- f) effective leadership of the school is in serious doubt.

The matter should be referred to the Headteacher (Chair of Governors) immediately. The Headteacher (Chair of Governors) will take action to deal with the situation under the Capability Policy for Schools taking into consideration the requirements necessary to invoke the formal process.

In exceptional circumstances, there may be concerns about the teacher's professional conduct in addition to professional performance. In these circumstances, the Conduct Policy for Schools should be used either instead of or concurrently with the Capability Policy for Schools.

POLICY HISTORY

Policy Date	Summary of change	Contact	Version/ Implementation Date	Review Date
04.07.2012	New Policy. Consultation completed with recognised Trade Unions (Teachers Consultative Committee): ASCL, ATL, GMB, NAHT, NASUWT, NUT, and Voice.	HR Direct	July 2012	
01.09.2013	Revised Policy, sections A1, I3, I4, J.2.2, J3 and J4 updated to reflect link between performance and pay progression	HR Direct	September 2013	