



## Hove Park School Model Appraisal Policy for Schools

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## 1. 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 teachers in all maintained schools and unattached teachers 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. The DfE model policy (dated April 2012) on which this policy is based, applies only to teachers, including headteachers, but this Brighton & Hove model policy has been adapted to include reference to support staff. The Local Authority has adapted the DfE model to provide a separate Brighton & Hove model Policy on Appraisal (sitting alongside a model Procedure on Capability) within DfE guidance. Brighton & Hove headteachers and school unions have been consulted via a joint Appraisal/Capability Review working group. The school unions have contributed to the model Appraisal Policy (and separate Capability Procedure) but are unable to endorse it in its entirety.

This model Appraisal Policy 2013 updates the 2012 version by making reference to the revised 2013 Model Pay policy and clarifies the link between pay and performance as set out in the 2013 STP&CD.

### **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. **Text in green** indicates where the B&H Pay & Appraisal Review working group have suggested additional/alternative wording schools may find helpful.

## 2. Model Policy for Appraising Performance

The governing body of Hove Park School adopted this policy on 16<sup>th</sup> September 2013  
It will review it in two years.

### 2.1 Purpose

This policy sets out the framework for a clear and consistent assessment of the overall performance of teachers (including the headteacher) 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. It should be read in conjunction with the separate Pay Policy and Capability Procedure. The Pay Policy sets out the links between performance and pay and details the process to be used for effecting pay changes (all changes from September 2014). The Capability Procedure (updated in 2012) should be used where concerns about performance are not able to be resolved successfully under this Appraisal Policy.

## 2.2 Application of the Policy

The policy is in two sections.

Section 3.1 of the policy applies to the headteacher and to all teachers employed by the school or local authority, except those on contracts of less than one term, those undergoing induction (*i.e.* NQTs) and those who are subject to the Capability Procedure.

Section 3.2 of the policy refers to support staff arrangements for Appraisal/ Performance Management.

## 3. Appraisal

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

### 3.1 Teaching Staff

#### a) The Appraisal Period

**The appraisal period will run for twelve months** from 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 period will be determined by the duration of their contract.**

#### b) Appointing Appraisers

**The headteacher 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.**

In this school the task of appraising the headteacher, including the setting of objectives, will be delegated to a sub-group consisting of three members of the governing body.

The headteacher will decide who will appraise other teachers and ensure sufficient training is in place. Appraisers of teachers must have QTS.

#### c) Setting Objectives

**The headteacher's objectives will be set by the governing body after consultation with the external adviser.**

**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 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 appraiser will determine the objectives. Objectives may be revised if circumstances change.

**The objectives set for each teacher 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.** This will be ensured by quality assuring all objectives against the school improvement plan.

- The agreed objectives will contain a description of what success will look like. Where use of numerical targets is appropriate, these will be reasonable, in the circumstances in which the teacher works and it will be recognised that factors outside teachers' control may significantly affect success.
- PPA sessions should not be used for appraisal meetings but should be undertaken in other directed time.

These objectives should take account of the school's improvement plan (SIP).

While schools have the freedom to determine the number of objectives, it is anticipated that in most cases this will be three.

Please refer to the Supplementary Guidance for Appraisers of Teachers in B&H (sent out alongside the 2013 model pay policy) for further guidance on assessment and Exemplar Frameworks on Teacher Standards.

**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.** *With the exception of those who are qualified teachers by virtue of holding and maintaining Qualified Teacher Learning & Skills (QTLS) status, all teachers should be assessed against the set of standards contained in the document called "Teachers' Standards". The headteacher 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. For teachers who are qualified teachers by virtue of holding QTLS status, it is for the governing body or headteacher to decide which standards are most appropriate. Such teachers may be assessed against the Teachers' Standards, against any other set of standards issued by the Secretary of State, against any other professional standards relevant to their performance or any combination of those three.*

#### **d) Reviewing Performance**

##### **i) 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 fashion. The school has designed its procedures in line with the principles agreed by the NUT, NAHT, ASCL and ATL in the document shown at Appendix 1.) 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.

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

## **ii) 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 teachers 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 teachers.

## **iii) Feedback**

Teachers 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 for further attention. Where there are concerns about aspects of the teacher’s performance the appraiser should consult with their senior manager before meeting with the teacher to:

- give clear feedback to the teacher about the nature and seriousness of the concerns;
- give the teacher the opportunity to comment and discuss and record the concerns;
- agree any support (e.g. coaching, mentoring, structured observations), that will be provided to help address those specific concerns;
- make clear how, and by when, the appraiser will review progress (*it may be appropriate to revise objectives and it will be necessary to allow sufficient time for improvement e.g. between 4 and 10 working weeks, although the actual period will depend on the individual circumstances*);
- explain the implications and process if no – or insufficient – improvement is made. 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.
- Where an appraisee is unhappy about the entries in the appraisal report and feels that they are unreasonable e.g. unfair discrimination has taken place, they retain the right of appeal under the Schools’ Grievance procedure. Where a pay decision is affected, any appeal should be made under the School’s Pay Policy (appeals procedure). Schools should inform appraisees of this right of appeal.

### e) Annual Assessment

Each teacher's performance will be formally assessed in respect of each appraisal period. In assessing the performance of the headteacher, 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.

**The teacher 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 will receive their written appraisal reports by 31 October (31 December for the headteacher). **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 in line with the School Pay Policy** (*N.B. – pay recommendations need to be made by 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.

### f) Link to Capability Procedure

At any point during the appraisal cycle, if there are concerns about the performance of a teacher, a professional dialogue must take place to determine the next steps. This may include putting in place focussed support as part of the appraisal process. The appraiser should consult with a senior manager if it is considered appropriate to provide focussed support.

If the appraiser is not satisfied with progress after an agreed period of time (e.g. between 4 and 10 weeks but dependant on the individual circumstances) a decision to proceed to the Capability Procedure will be taken. The teacher will be notified in writing that the appraisal system will no longer apply and that their performance will be managed under the Schools' Capability Procedure. The teacher will be invited to a formal capability meeting.

## 3.2 Support Staff

The Wider Workforce receive performance management reviews on an annual basis in line with the guidelines given for Local Government Workers at Brighton and Hove Council, using the agreed performance management framework. The cycle runs from February to January each year.

Individual objectives are set out in line with the wider workforce section of the school improvement plan.

## **4. General Principles Underlying this Policy**

### **Confidentiality**

The appraisal process will be treated with confidentiality. However, the desire for confidentiality does not override the need for the headteacher and governing body to quality-assure the operation and effectiveness of the appraisal system. *Schools to say here how they might achieve this, for example, the head teacher or appropriate colleague might review all teachers' objectives and written appraisal records personally, in order to check consistency of approach and expectation between different appraisers. The headteacher might also wish to be aware of pay recommendations that have been made.*

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

The governing body is committed to ensuring consistency of treatment and fairness and will abide by all relevant equality legislation.

### **Definitions**

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

### **Delegation**

Normal rules apply in respect of the delegation of functions by governing bodies, headteachers and local authorities.

### **Monitoring and Evaluation**

The governing body and headteacher will monitor the operation and effectiveness of the school's appraisal arrangements.

### **Retention**

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

### **A Joint Statement of Principles on Teacher Appraisal and Capability from the ASCL, ATL, NAHT and NUT**

- Appraisal is a thorough yet supportive and developmental process which assists teachers in improving their performance by concentrating on key objectives and must include open and honest discussions between the appraiser and the appraisee;
- The above unions believe that schools should have separate appraisal and capability policies in order to facilitate the discussions needed to ensure the effectiveness of the appraisal process in managing performance. Capability procedures would not normally commence until it is clear that it is necessary, following on from the appraisal process;
- All appraisers should be appropriately trained in appraisal procedures. All appraisers who conduct observations of teaching should have QTS;
- Objectives should be set following consultation with teachers and should be clearly defined, with appraisers and appraisees clear what success will look like and how progress will be measured;
- Observation for appraisal should be planned, with sufficient notice given and a clear focus linked to agreed objectives;
- Feedback should be given swiftly after any observation;
- Observation should be kept to the minimum needed to determine that objectives are met and in accordance with local agreements:
- Implication of insufficient progress should be clearly explained to the teacher;
- Where concerns are raised the teacher will receive appropriate support as part of the appraisal process. The 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 locally agreed protocols;
- If after the 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;
- The DfE capability model should not be used for capability concerns arising as a result of ill-health (schools must have a separate policy for this);
- Care will be taken to ensure that appraisal and capability procedures are used in such a way as to avoid discrimination, with monitoring for equality purposes.