

Policy for Appraisal & Capability

The Governing Body of William Austin Junior School adopted this policy on 10th October 2012 following consultation with the recognised teaching unions.

1. PURPOSE

- 1.1 This procedure sets out how William Austin Junior School will improve outcomes for children, and raise the morale of teachers, by motivating teachers to up-date their skills and improve their performance.
- 1.2 The appraisal procedure will be used also to address any concerns that are raised about a teacher's performance. If concerns are such that they cannot be resolved through the appraisal process, there will be consideration of whether to commence the capability procedure.

2. APPLICATION OF THE APPRAISAL POLICY

- 2.1 This policy applies to the Headteacher and to all qualified teachers employed at the school except those on contracts of less than one term and those undergoing induction (*i.e.*, *NQTs*) or teachers on capability procedures
- 2.2 Appraisal in this school will be a supportive and developmental process designed to ensure that all teachers have the skills and support they need to carry out their role effectively. It will help to ensure that teachers are able to continue to improve their professional practice and to develop as teachers.

3. THE APPRAISAL PERIOD

- 3.1 The appraisal period will run **for 12 months**, normally from October, when objectives are set and agreed, to July, when performance is reviewed.
- 3.2 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.
- 3.3 Where a teacher starts their employment at the school part-way through a cycle, the Headteacher or, in the case where the employee is the Headteacher, the Governing Body shall determine the length of the first cycle for that teacher, with a view to bringing his/her cycle into line with the cycle for other teachers as soon as possible.
- 3.4 Where a teacher transfers to a new post within the school part-way through a cycle, the Headteacher or, in the case where the employee is the Headteacher, the Governing Body shall determine whether the cycle shall begin again and whether to change the appraiser.

4. APPOINTING APPRAISERS

- 4.1 All appraisers of teachers, other than those appraising Headteachers, will be teachers and will be suitably trained.
- 4.2 **Headteacher**
 - 4.2.1 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.

- 4.2.2 The task of appraising the Headteacher, including the setting of objectives, will be delegated to a sub-group consisting of normally three members of the Governing Body.
- 4.2.3 Where a Headteacher is of the opinion that any of the governors appointed by the Governing Body is unsuitable to act as his/her appraiser, s/he may submit a written request for that governor to be replaced, stating the reasons for the request.

4.3 Teachers

- 4.3.1 The choice of appraiser is for the Headteacher. Where teachers have an objection to the Headteacher's choice, their concerns will be carefully considered and, where possible, an alternative appraiser will be offered. All appraisers appointed by the Headteacher will be qualified teachers and will have current or recent teaching experience.
- 4.3.2 Where it becomes apparent that the appraiser appointed by the Headteacher will be absent for the majority of the appraisal cycle, the Headteacher may perform those duties herself/himself or delegate those duties to another teacher for the duration of that absence.
- 4.3.3 If the Headteacher appoints an appraiser who is not the teacher's line manager, the appraiser to whom she/he delegates those duties will have an appropriate position in the staffing structure, together with the necessary background knowledge, skills and training to undertake the role.
- 4.3.4 Where a teacher is experiencing difficulties and the Headteacher is not the appraiser, the Headteacher may undertake the role of appraiser. See also section on Teachers Experiencing Difficulties.

5. SETTING OBJECTIVES

- 5.1 The Headteacher's objectives will be set by the appraisal sub-group of the Governing Body after consultation with the external adviser and the Headteacher.
- 5.2 Objectives will be set before or as soon as practicable after, the start of each appraisal period. The objectives set will be Specific, Measurable, Achievable, Realistic and Time-bound and will be appropriate to the appraisee's role and level of experience. In setting the objectives, reviewers will have regard to what can reasonably be expected in the context of roles, responsibilities and experience, consistent with the school's strategy for achieving a work/life balance for all staff. Appraisees may at any point append their comments alongside their objectives.
- 5.3 The appraiser and appraisee will seek to agree the objectives. Objectives may be revised if circumstances change. The school operates a system of moderation to ensure that all appraisers are working to the same standards. Targets will be moderated across the school to ensure that they are consistent between teachers with similar experience and levels of responsibility. Should the objectives not be agreed, the final decision on allocation of objectives rests with the Headteacher.
- 5.4 The agreed objectives will contain a description of what success may 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.
- 5.5 Setting more than three objectives, or, for example, using sub-targets, can lead to teachers experiencing unreasonable workload and pressure making the objectives more difficult to achieve. Teachers will normally be set no more than 3 objectives except where an additional objective(s) would facilitate a teacher meeting the Teaching Standards.
- 5.6 The objectives set for each teacher are intended to contribute to the school's plans for improving the school's educational provision and performance and improving the education of pupils at that school and will take into account the professional aspirations of the teacher.

- 5.7 The appraiser will take into account the effects of an individual's circumstances, including any disability, when agreeing objectives. For example, this might include a reasonable adjustment to allow an individual slightly longer to complete a task than might otherwise be the case. When staff return from a period of extended absence, objectives may be adjusted to allow them to readjust to their working environment.
- 5.8 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. Teachers will be assessed against the appropriate set of standards contained in the document *Teachers' Standards*, published in July 2011. The Headteacher or Governing Body (as appropriate) will need to consider whether certain teachers should be assessed against other sets of standards published by the Secretary of State or other body that are relevant to them. For QTLS holders, that may include the overarching professional standards for teachers in the lifelong learning sector, held by the Learning and Skills Improvement Service.

6. PAY PROGRESSION

- 6.1 Where teachers are eligible for pay progression, the recommendation made by the appraiser will be based on the assessment of their performance against the agreed objectives. The decision made by the relevant decision-making body will be based on the statutory criteria and guidance set out in the *School Teachers' Pay and Conditions Document (STPCD)* and the relevant teacher standards.
- 6.2 The Governing Body has agreed the pay policy of the school and has considered the implications of the appraisal policy with respect to the arrangements relating to teachers' pay in accordance with the *STPCD*. The Governing Body will ensure that decisions on pay progression are made by 31 December for Headteachers and by 31 October for other teachers.

7. REVIEWING PERFORMANCE

7.1 Observation

- 7.1.1 The effective and efficient operation of the appraisal process requires lesson observation to be a confidential process of constructive engagement within an atmosphere of support and co-operation.
- 7.1.2 Accordingly, observations will be carried out in a supportive fashion, with professionalism, integrity and courtesy, will be evaluated objectively and reported accurately and fairly and will take account of particular circumstances which may affect performance on the day.
- 7.1.3 At least five working days' notice of the date and time of the observation will be given and verbal feedback provided by at least by the end of the next school day and written feedback within 5 working days, unless circumstances make this impossible.
- 7.1.4 Classroom observation will be carried out by qualified teachers.
- 7.1.5 For the purposes of appraisal, teachers' performance will be observed on an appropriate and reasonable number of occasions and will, as far as possible, be agreed by the appraiser with the appraisee based on the individual circumstances of the teacher and the overall needs of the school. The number and duration of appraisal observations will be in accordance with the school's observation protocol, which includes provision for exceptional circumstances where concerns have been raised about a teacher's performance, or where the teacher requests additional observation visits.
- 7.1.6 Formal observation for the purpose of appraisal will not exceed 3 hours per academic year (except where a teacher is subject to an Improvement Plan) and will be accompanied by written feedback.
- 7.1.7 Headteachers or other leaders with responsibility for learning and teaching standards may 'drop in' or undertake other observations to evaluate the standards of teaching and learning and to ensure that high standards of professional performance are established and maintained. The length and frequency of 'drop in' or other observations, and the notice to be given, will vary depending on specific circumstances but will be in accordance with the school's classroom observation and drop-in policy.

- 7.1.8 For the purpose of professional development, feedback about lesson observations should be developmental, not simply a judgement using Ofsted grades.
- 7.1.9 This school will use the findings of each observation, including appraisal observations, for other management requirements (for example subject area reviews), thereby seeking to minimise the total number of occasions on which teachers are observed.
- 7.1.10 Teachers (including the Headteacher) whose posts have responsibilities outside the classroom should also expect to have their performance of those responsibilities observed and assessed.

7.2 Development and Support

- 7.2.1 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, through peer observation for example. Professional development will be linked to school improvement priorities and to the on-going professional development needs and priorities of individual teachers.
- 7.2.2 The school's CPD programme will be informed by the training and development needs identified as part of the appraisal process. The Governing Body will ensure in the budget planning that, as far as possible, resources are made available in the school budget for appropriate training, and support agreed for appraisee, maintaining access on an equitable basis.
- 7.2.3 An account of the training and development needs of teachers including the instances where it did not prove possible to provide any agreed CPD, will form a part of the Headteacher's annual report to the Governing Body about the operation of the appraisal process in the school.
- 7.2.4 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 training and support will help the school to achieve its priorities;
 - and
 - (b) the CPD identified is essential for an appraisee to meet their objectives.
- 7.2.5 Account will be taken in a review meeting of where it has not been possible for teachers to fully meet their performance criteria because the support recorded in the planning statement has not been provided.

8. ANNUAL ASSESSMENT

- 8.1 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.
- 8.2 The teacher will receive as soon as practicable following the end of each appraisal period – and have the opportunity to comment on - a written appraisal report (please see model report at Appendix 1). 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 against 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 (**N.B. – pay recommendations need to be made by 31 December for Headteachers and by 31 October for other teachers**);

- a space for the teacher's own comments;

- 8.3 A review meeting will take place to discuss the content of the report and any further action required and to inform objective setting for the next cycle. In some circumstances an interim review meeting may be appropriate.
- 8.4 The assessment of performance and of training and development needs will inform the planning process for the following appraisal period.

9. TEACHERS EXPERIENCING DIFFICULTIES

- 9.1 When dealing with a teacher experiencing difficulties, the objective is to provide support and guidance through the appraisal process in such a way that the teacher's performance improves and the problem is, therefore, resolved.
- 9.2 Where it is apparent that a teacher's personal circumstances are leading to difficulties at school, support will be offered as soon as possible, without waiting for the formal annual assessment.
- 9.3 If an appraiser identifies through the appraisal process, or via other sources of information, for example parental complaints, that the difficulties experienced by a teacher are such that, if not rectified, could lead to capability procedures, the appraiser, the Headteacher, or a member of the leadership team, will, as part of the appraisal process give the teacher at least 5 working days' notice (using the model invitation letter at Appendix 2) that a meeting will be held to discuss targets for improvement alongside a programme of support, and inform the teacher that s/he has the right to be assisted by a companion* at the meeting and at any future meetings where capability will be discussed;

* The chosen companion can be one of the following only:

- A work colleague
- A Trades Union Representative*
- An official employed by a Trades Union
- A 'support worker' may be allowed to accompany an employee with a disability, agreed in advance as a reasonable adjustment under the Equalities Act 2010

*A trades union representative who is not an employed official must have been certified by their trades union as being competent to accompany the employee. It is the employee's responsibility to check with their trades union that their chosen representative has been certified as competent.

At this Formal Appraisal Meeting the appraiser, Headteacher or member of SLT, who may be assisted by a HR Adviser will:

- give clear feedback to the teacher about the nature and seriousness of the concerns, the appraiser/line manager may contribute to this;
- give the teacher the opportunity to comment on and discuss the concerns;
- in consultation with the teacher at the above meeting, an action plan with support will be established (for example coaching, training, in-class support, mentoring, structured observations, visits to other classes or schools or discussions with advisory teachers), that will help address those specific concerns;
- confirm targets and make clear how progress will be monitored and when it will be reviewed;

- confirm a review period of 6 working weeks and agree a date to meet to formally review progress
- explain the implications and process for transfer to capability procedures if no – or insufficient – improvement is made.
- Advise that written feedback, confirming the content of the meeting will be provided (Please use model letter and Target and Monitoring Grid at Appendix 3).

9.4 The teacher's progress will continue to be monitored as part of the appraisal process and a reasonable time given for the teacher's performance to improve. This will depend upon the circumstances but will be for a period of 6 weeks, with appropriate support as agreed in the Action Plan, in order that the aim of recovering and improving performance can be achieved. During this monitoring period the teacher will be given regular feedback on progress and arrangements will be made to modify the support programme if appropriate.

9.5 At the 6 week review meeting, conducted by the monitor:

9.5.1 If sufficient progress is made such that the teacher is performing at a level that indicates there is no longer a possibility of capability procedures being invoked the teacher should be informed of this at a formal meeting with the appraiser or Headteacher (Please use model letter at Appendix 4). Following this meeting the appraisal process will continue as normal.

9.5.2 If no, or insufficient, improvement has been made over this period, the teacher will be advised at the meeting and then notified in writing that the appraisal system will no longer apply and that their performance will be managed under the schools capability procedure (Please use model letter at Appendix 5). The letter will advise the teacher of the date and time of the First Formal Capability Meeting.

10. Appeals

10.1 Appraisees have a right of appeal against any of the entries in the written appraisal report. Details of the appeals process are available from the Headteacher or from the school Governing Body. Where the Headteacher has not been recommended for pay progression he/she will be informed by the appropriate governor.

The Headteacher will notify any teacher who has not been recommended for pay progression of the date when the Governing Body meets to consider pay recommendations, following which the teacher (and Headteacher when the head has not been recommend for pay progression) may exercise the right of appeal, assisted by a companion who may be a colleague, a trade union official or a trade union representative. The appeals procedure where a teacher does not pay progress is contained within the school's Pay Policy.

GENERAL PRINCIPLES UNDERLYING THIS POLICY

ACAS Code Of Practice on Disciplinary and Grievance Procedures

The conduct of the formal capability stage will be undertaken in accordance with the provisions of the *ACAS Code of Practice*.

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.

Sickness

If long term sickness absence appears to have been triggered by the commencement of monitoring or a formal capability procedure, the case will be dealt with in accordance with the school's absence policy and will normally be referred to the occupational health service to assess the member of staff's health and fitness for continued employment and the appropriateness or otherwise of continuing with monitoring or formal procedures. In some cases it may be appropriate for formal procedures to continue during a period of sickness absence. However, the views of the occupational health physician will always be taken into account before a decision is reached.

Grievances

Where a member of staff raises a grievance during the appraisal or capability process, the appraisal or capability process may be temporarily suspended in order to deal with the grievance. Where the grievance and appraisal or capability cases are related it may be appropriate to deal with both issues concurrently.

Confidentiality and Professional Relationships

The appraisal and capability processes will be treated with confidentiality. Only the appraiser's line manager or, where s/he had more than one, each of her/his line managers will be provided with access to the appraisee's plan recorded in her/his statements. This will be done upon request and only where this is necessary to enable the line manager to discharge her/his line management responsibilities. Appraisees will be consulted on requests for access to statements in the context of this policy.

The process of gathering evidence for performance review will not compromise normal professional relationships between teachers. The Governing Body recognises that the reviewer will consult with, and seek to secure the agreement of, the reviewee before seeking information from other colleagues about the work of the reviewee.

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. 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. The Headteacher might also wish to be aware of any pay recommendations that have been made.

Monitoring and Evaluation

The Governing Body and Headteacher will monitor the operation and effectiveness of the school's appraisal arrangements.

The Headteacher will provide the Governing Body with a written report on the operation of the school's appraisal and capability policies annually. The report will not identify any individual by name. The report will include an assessment of the impact of these policies on:

- Race
- Sex
- Sexual Orientation
- Disability
- Religion and Beliefs
- Age
- Part-time Status
- Maternity and Pregnancy

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 Governing Body and Headteacher will ensure that all written appraisal records are retained in a secure place for six years and then destroyed.

This policy will be monitored and reviewed by the Headteacher on an annual basis.

Policy updated: October 2019

Staff responsible: Jo Adams

This policy was ratified by the Governing body on: 30th October 2019

Signed on behalf of the Governing Body: _____(signature)

_____(printed)

Appraisal Report

Name.....

Post

Appraiser

Date of Meeting

Past Years Objectives

<u>Objective</u>	<u>Progress/Outcome</u>

Teaching Standards

Standard	Performance
1. Set high expectations which inspire, motivate and challenge pupils.	
2. Promote good progress and outcomes by pupils.	
3. Demonstrate good subject and curriculum knowledge.	
4. Plan and teach well structured lessons.	
5. Adapt teaching to respond to the strengths and needs of all pupils.	
6. Make accurate and productive use of assessment.	
7. Manage behaviour effectively to ensure a good and safe learning environment.	
8. Fulfil wider professional responsibilities.	

Other Relevant Standards

<u>Standard</u>	<u>Performance</u>

Appraisee's Comments

Professional Development

<u>What needs developing?</u>	<u>How will this be achieved?</u>

Objectives for the year ahead

Will relate to:

- School development plan
- Teacher (and/or other relevant standards)
- Professional development

Objective	Success Criteria

Signed Appraisee.....Date.....

Signed AppraiserDate.....

Recommendation on pay (where relevant)

.....

.....

TEACHER APPRAISAL

MODEL LETTER - Invite to ~~Formal Appraisal~~ Informal Capability meeting

I am writing to request your attendance at an informal meeting, to

- Give you feedback about concerns in relation to your performance and how it needs to improve
- Give you the opportunity to comment on the concerns
- Identify support that will be useful to you in addressing those concerns
- Identify a review date and a mechanism for monitoring
- Discuss the next steps in the process.

The meeting will take place on (date), at (time), in my office. I will be supported by (name of HR Adviser) at that meeting. **(I have also invited (name), as your line manager if different from appraiser.)*(I have also invited (name) from SLT to provide support) * delete as appropriate, please note that either the line manager or member of SLT can attend, not both.*

You may be accompanied by a companion. Details of who a chosen companion may be are provided in paragraph 9.3 of the Appraisal Procedure for Teachers in Schools with Delegated Budgets, a copy of which is enclosed.

Headteacher/member of SLT

TEACHER APPRAISAL

MODEL LETTER – outcome of ~~Formal Appraisal~~ Informal Capability meeting

I write to confirm the discussion which took place at our recent meeting on (date).

At the meeting we considered areas for your development with reference to the national Teachers Standards (and /or other applicable national standards) and the objectives set during your most recent appraisal period. The principal areas of concern are as follows:

- (Areas of concern)
-
-

You commented that ...(include any comments made by the teacher in response)

We agreed the following specific targets as a realistic expectation of you in your post as (post title):

- (Targets)
-
-

Achievement in these areas will be monitored by (name).

In addition to the support and training which has already been given to you (may wish to insert) we agreed to put in place the following, in order to assist your development:

- (Support and training)
-
-

This is set out in more detail in the attached sheet.

Progress will be reviewed by (name of monitor) on (date). They will be supported by a HR advisor. You are entitled to be accompanied by a companion.

It is important for me to emphasise that the school will work with you with the aim of helping you achieve and maintain a satisfactory level of performance in the areas identified above. However, if progress at our review meeting is insufficient I shall have no alternative but to move into the school's formal Capability Procedure, a copy of which is enclosed.

Please have no hesitation in seeking clarification or further support if you feel this would help.

Headteacher/SLT

IMPROVEMENT PLAN

TARGETS AND MONITORING

TEACHING (OTHER NATIONAL) STANDARD	TARGET	SUCCESS CRITERIA AND EVIDENCE TO BE USED	SUPPORT AND TRAINING	MONITORING NOTES

REVIEW DATE -- _____

TEACHER APPRAISAL

MODEL LETTER – RECORD OF SATISFACTORY REVIEW

I write to confirm the outcome of our review meeting. At that meeting we reviewed your progress against the following targets set with reference to the national Teachers' Standards (and /or other applicable national standards):

- (Targets)
-
-

I am pleased to confirm that you have made/are making sufficient progress in meeting an acceptable level of performance in these areas. Therefore, the appraisal process will continue to apply and your performance will be managed in accordance with the school's Appraisal Procedure.

It is, of course, very important that this improvement is sustained. In the event that this should not be the case, then the school's Capability Procedure will apply.

Please have no hesitation in seeking clarification or further support if you feel this would help.

Monitor

APPRAISAL PROCEDURE

MODEL LETTER – transition to Capability Procedure

I write to confirm the outcome of our review meeting. At that meeting we reviewed your progress against the following targets set with reference to the national Teachers' Standards (and /or other applicable national standards):

- (Targets)
-
-

As a result of our meeting I regret that I consider insufficient/no progress has been made in meeting an acceptable level of performance in these areas The Headteacher will now hold a First Formal Capability meeting with you as per paragraph one of the school's Capability Procedure. At the meeting the Headteacher may conclude that there are insufficient grounds to pursue capability and that the appraisal procedure will apply, adjourn to obtain additional information or issue a formal warning and commence monitoring under the capability procedure for Teachers.

The meeting will take place on (date), at (time), (venue). The Headteacher will be advised by (name) at that meeting. You may be accompanied at the meeting by a companion. Details of who a chosen companion may be are provided in paragraph 9.3 of the Capability Procedure for Teachers in Schools with Delegated Budgets. A note taker will be in attendance to record the main points of the discussion at the meeting. I will also be in attendance.

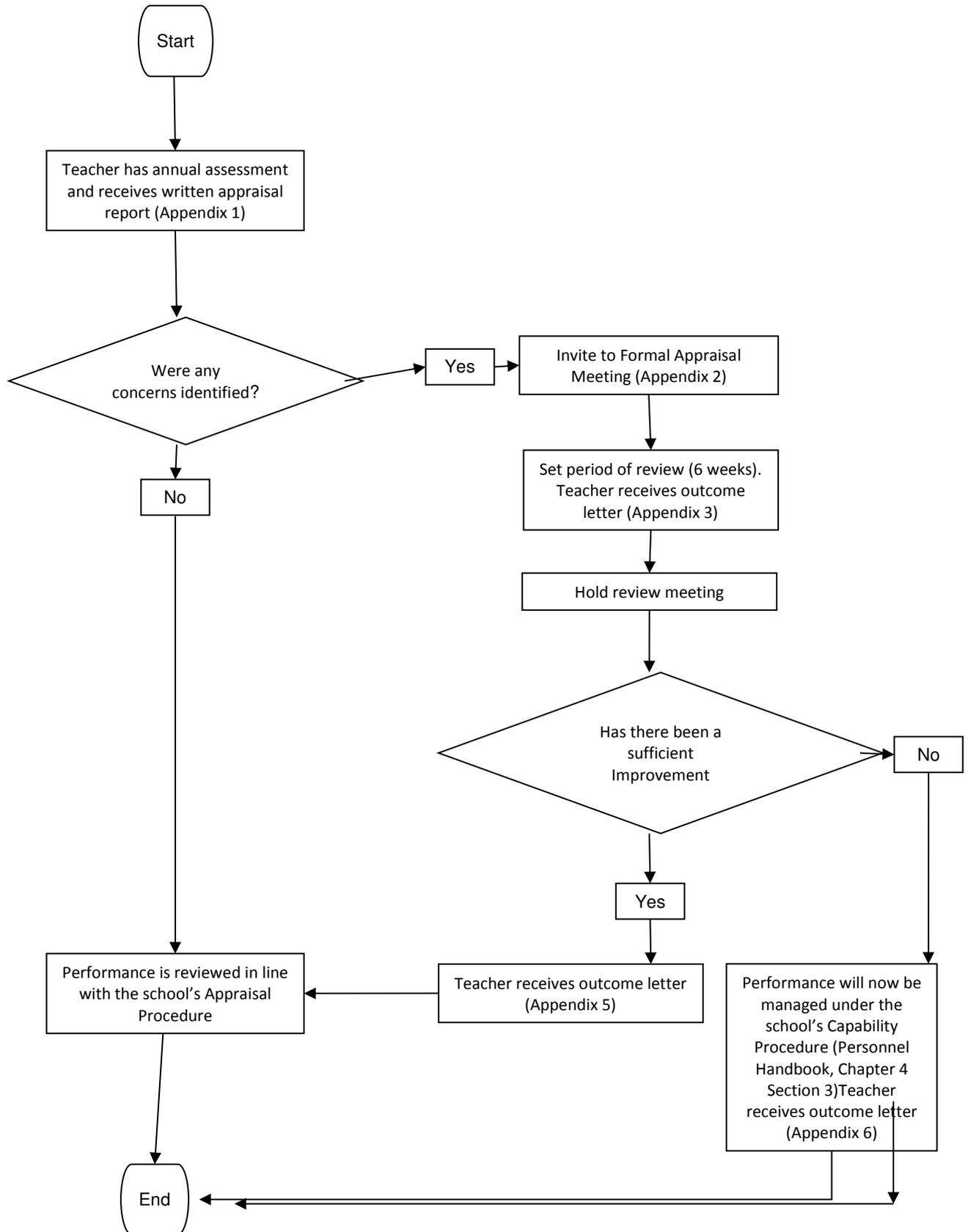
The purpose of the meeting is to

- Give you feedback about concerns in relation to your performance and give you guidance on how it needs to improve
- Give you the opportunity to comment on those concerns
- Discuss the support available to you to address those concerns
- Set out the timetable for improvement and how performance will be monitored and reviewed.

Please be advised that the outcome of this meeting may be a formal warning that failure to improve in the period set may result in your dismissal.

Please have no hesitation in seeking clarification or further support if you feel this would help

Appraisal Procedure



Lesson Observation, Learning Walks and Drop-Ins Protocol

Lesson Observations

1. Arrangements for classroom observations for appraisal purposes should be included in the school's appraisal policy
2. All staff should have at least 5 working days' notice of a formal lesson observation and be aware of the following:
 - The main purpose of the observation
 - Which particular aspect is the focus of the observation
 - The duration of the observation
 - Who will be conducting the observation
3. Verbal feedback should be provided within 48 hours and written feedback within 5 working days
4. Information collected during a formal observation should be used for multiple purposes such as evaluating standards of teaching, informing school self-evaluation and completing the appraisal requirements
5. The total time for formal observations should not exceed 3 hours in any academic year unless previously agreed with the staff member

Learning Walks

1. Will be used to collect evidence about teaching and learning, evidence of progress and areas for school development
2. Learning walks should be developmental and constructive not judgemental
3. Learning walks should have a purpose and focus which is shared with staff
4. Staff should be aware of when the Learning walk will occur
5. Feedback should be given
6. Copies of any records/notes taken during the Learning walk should be shared with the relevant staff

Drop-Ins

1. Members of the Senior Leadership can complete 'drop-ins'
2. The Senior Leadership Team should have a timetable of 'drop-ins' to ensure no staff member is visited more than once a half term
3. No written records should be kept of 'drop-ins'
4. 'Drop-ins' can be completed for a variety of reasons including monitoring the quality of teaching, progress and the learning environment.