

Term of policy: Every 1 year

Approved by: Board of Trustees

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Sources: NGA, The Key

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Consulted with JCC? Yes No

Introduction

This policy replaces any previous policy and follows the DfE regulations.

In line with the School's Equal Opportunities and Special Educational Needs policies, we aim to give all students equal opportunities to take part in all aspects of School life, as far as is appropriate, practicable and compatible with giving regard to health and safety and the efficient education of other students.

The policy will follow the five principles of the Children's Plan:

- to support parents and families
- to allow children to reach their full potential
- to enable children to enjoy their childhood whilst preparing for adult life
- to provide services in response to children and family needs
- to use preventative measures to help students avoid the possibility of failure

This policy is based upon the School's commitment to the development and maintenance of good behaviour and a positive and inclusive ethos for all members of the School community.

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1. Aims

This policy is formulated by the Assistant Headteacher for Assessment and Performance. The policy is subject to approval by the Governors of the school. Rooks Heath School is committed to effective performance appraisal for its entire staff in order to maintain improvement in the quality of education provided.

This policy aims to:

- Set out the arrangements for appraisal, including the process and the responsibilities of individuals
- Ensure consistency and fairness across the school
- Create a process where staff's professional development is supported and encouraged, in the context of the school's latest Ofsted report, our school improvement plan and for teaching staff, the Teachers' Standards
- Ensure all staff have the skills and knowledge they need to fulfil and excel in their role and provide an excellent education to our students

The policy applies to all staff employed by the school or local authority, except those on contracts of less than one term, those undergoing induction and those undergoing capability procedures.

2. Legislation and guidance

As an academy, we are free to determine our own appraisal arrangements. However, where a teacher's contract specifically incorporates conditions from [The Education \(School Teachers' Appraisal\) \(England\) Regulations 2012](#), these will continue to apply due to [The Transfer of Undertakings \(Protection of Employment\) \(TUPE\) Regulations 2006](#), which protect employees' terms and conditions when a maintained school becomes an academy.

We have based this policy on the [model policy](#) produced by the Department for Education (DfE).

This policy complies with our funding agreement and articles of association.

3. Definitions

In this policy, the term 'teacher' refers to classroom teachers, middle and senior leaders, and the headteacher. The term 'associate' staff refers to all staff in a supportive role alongside teaching staff.

4. The appraisal period

The appraisal period will run for 12 months beginning on the first day of the autumn term. Appraisals will be held during the autumn term. There will be an Interim Appraisal update period in the Spring Term for teaching staff to document progress so far and amend objectives if necessary.

For teachers on fixed-term contracts of less than 12 months, the appraisal period will be determined by the duration of their contract.

Teachers who start at or leave the school during the appraisal period can have a longer or shorter appraisal period in that appraisal round.

It is intended that teachers will have had their annual appraisal meeting and received their appraisal report by 31st October.

It is intended that the headteacher will have had their annual appraisal meeting and received their appraisal report by 31st December.

All staff are required to submit appraisal reports with the exception of early career teachers in their first two years of teaching, who have a comprehensive induction programme. Refer to the school's ECT policy for teachers.

5. Setting objectives

Teachers' objectives will be set before, or as soon as possible after, the start of the appraisal period.

The headteacher's objectives will be set by the governing body and the CEO of the Academy Trust, and may include an external adviser (see section 9 for more information on appointing an external adviser).

Objectives will:

- Contribute to improving the education of students at the school and the implementation of any school improvement plans. To ensure this happens, the Assistant Headteacher for Assessment and Performance, will quality assure all objectives against the school improvement plan
- Be specific, measureable, achievable, realistic and time-bound (SMART)
- Be appropriate to the teacher/associate staff role and career experience
- Be revised if circumstances change throughout the year

For teachers, three objectives must be set in line with job specification, career stage and SIP.

Examples include:

- Student Progress Target** - To maximise student outcomes, towards achieving at or above the grades which have been set using national expectations of progress or using departmental levels of progress.
- Teaching, Learning & Assessment Target** – individual or departmental or whole school key area to develop in line with job specification.
- Professional Development Target** - individual or departmental or whole school key area to develop in line with job specification.

When objectives are set, teachers will also be informed of the standards their performance will be judged against. (see Appendix 2)

The appraiser and teacher/associate staff will seek to agree the objectives but, if that is not possible, the appraiser will determine the objectives.

6. Standards

Teachers will be assessed against the [Teachers' Standards](#). The headteacher, and other school leaders where relevant, will also be assessed against the [Headteachers' Standards 2020](#).

Teachers' performance will also be assessed against the career stage expectations that we have developed.

7. Reviewing performance (including observation protocol and guidance)

We will use a range of evidence to judge a teacher's performance:

- Formal and informal lesson observations
- Observations and results from wider school activities, if applicable (eg: learning walks/book scrutiny)
- Performance of their students
- Reviews of planning and marking
- Parent and student voice, if applicable
- Self-assessment/appraiser assessment rubric

7.1 Observation protocol

We believe that observations are an important way of assessing teachers' performance. They can help identify a teacher's strengths and areas for improvement, and can help us identify areas of good practice that can be shared across the school.

There will be both formal and 'drop in' observations. Teachers with responsibilities outside the classroom will also have these responsibilities observed.

All observations will:

- Be carried out in an objective, fair, professional and supportive manner
- Be carried out by teachers with Qualified Teacher Status
- Provide constructive feedback
- Remain confidential to those who need to know details as part of their jobs

7.2 'Drop in' observations

Drop-in observations will usually be conducted by school leaders including heads of department in order to monitor the quality of teaching and learning.

Notice of 'drop in' observations will be given at least one week in advance.

They may involve the observer talking to students and looking at their work.

The frequency will depend on the individual teacher and the school's needs at the time.

Generally, verbal feedback will be given the following day.

We will use all reasonable endeavours to provide written feedback within 5 working days.

Please note that we also carry out drop-in observations where fellow teachers observe a lesson for their own professional development. Notice may not be given and evidence from this could contribute to the portfolio of evidence to the quality of teaching.

7.3 Formal observations

The purpose of formal observations is to assess the teacher's performance and progress against their objectives and the relevant standards.

The number of formal observations will be determined by the teacher's individual circumstances and the needs of the school at the time.

For example, ECTs and less experienced teachers who have recently started at the school will receive a number of formal observations to establish their strengths and areas for development. A very experienced teacher will typically receive fewer observations.

Generally, verbal feedback will be given the following day.

We will use all reasonable endeavours to provide feedback within 5 working days.

7.4 Additional observations

Additional formal observations will take place if:

- The teacher requests them
- There are concerns that the teacher's performance is not up to standard (this may be triggered by poorly performing or poorly behaved students)
- The teacher is subject to formal capability proceedings
- The above protocols will still apply to these additional observations.

7.5 Guidance and support

All staff are entitled to:

- Induction
- Mentors
- Training bursaries where applicable
- Pre-threshold UPR support
- Consideration of training plans set out in performance appraisal review statements
- Regular meetings with a line manager for support, advice, guidance and observation opportunities.
- Attendance at National Induction programmes
- Mentors and A 'Buddy' for mutual support and observation opportunities
- Consideration of training plans set out in performance appraisal review statements
- Role specific training, including health and safety

PD programmes (Internal and External)

Individual and whole school PD programmes are informed by:

- The school improvement priorities
- Departmental improvement plans
- National Strategies and associated training programmes
- Performance Appraisal objectives and training plans, including career development

8. Annual assessment

Performance will be reviewed and addressed on a regular basis throughout the year in regular meetings with the teacher's line manager.

The appraisal meeting is the end point of the annual appraisal process and will take place in the autumn term. In this meeting, the appraiser will:

- Review the relevant evidence
- Assess performance in the appraisal period against the relevant standards
- Assess performance in the appraisal period against objectives
- Discuss the teacher's professional development needs and identify action that should be taken
- Discuss the teacher's wellbeing, career aspirations and any difficulties they may be facing

- If necessary, discuss the teacher's underperformance and put a plan in place to address it. They should also inform the teacher that if performance does not improve, capability proceedings may begin, where applicable

9. Conducting annual appraisal meetings

The headteacher's appraisal meeting will be conducted by the governing board. To support the headteacher appraisal, the governors may appoint an external adviser with relevant skills and experience. The adviser may be from the local authority, a neighbouring local authority, or an external consultant.

The governing board will typically delegate the headteacher's appraisal to a sub-group of three governing board members with a wide range of experience and knowledge of the school. This will not include any staff governors.

There must also be three non-staff governors, including either the chair or vice-chair, who are not involved in the appraisal whatsoever, to enable them to sit on an appeals panel if necessary.

The headteacher will decide who will appraise teachers. Unless there is a good reason not to, this will normally be the teacher's line manager. By way of example, a 'good reason' could be a poor or deteriorating working relationship between the teacher and line manager, including where a formal grievance has been lodged by the teacher citing their line manager.

All appraisers will be provided with appropriate training.

Appraisal meetings will take place within the teacher's normal working hours. Scheduling appraisal meetings for an hour is recommended.

10. Appraisal end of year statement

Teachers will be provided with a report of their appraisal in the TEAMS appraisal channel. The report will be completed by the person who conducted the appraisal usually in consultation with the member of staff during the appraisal meeting. Staff will use all reasonable endeavors to complete this within 5 working days.

This will include:

- An assessment of the teacher's performance against their objectives and the relevant standards
- An assessment of the teacher's training and development needs, and the action that should be taken to address them
- Where relevant, a recommendation on pay progression

There will be space in the report for the teacher's own comments.

Teachers will sign the appraisal report to say they have seen it and agree with its content. Teachers can appeal to the headteacher, and the headteacher can appeal to the governing board, if they disagree with the contents of the report and the pay recommendation it makes.

A link to template appraisal report can be found in **appendix 2**.

11. Concerns about a teacher's performance

If it becomes clear a teacher is having difficulties at any point during the appraisal period, they will be provided with additional support.

This will begin with a meeting with their line manager, where the problem will be discussed and potential solutions identified. A performance improvement plan may be created.

The nature of the support will be based on the individual's circumstances. For example, teachers whose difficulties are linked to a long-term health condition may be referred to the occupational health service. Teachers new to the school may be given a mentor or coach.

The concerns may be of a nature that would usually involve beginning the capability procedure. In these cases, refer to our capability policy.

12. Confidentiality

The appraisal process and relevant documents are strictly confidential. Only staff members who need the information in order to do their jobs will have access to the information.

Appraisal information will be anonymised when information is reported to the governing board.

Appraisal records will be kept securely in the teacher's personnel file.

13. Monitoring arrangements

The governing board will monitor and review the effectiveness of the appraisal arrangements. The Assistant Head for Performance and Assessment with responsibility for Appraisals will monitor objectives and assessments to ensure consistency, and will report to the Head Teacher.

This policy will be reviewed every three years.

The governing board will be responsible for approving this policy.

14. Links with other policies

14.1 This policy should be read in conjunction with our capability and pay policies.

The capability policy will be used where this policy has not been able to address concerns with a teacher's performance. It applies to all staff, not just teaching staff.

The pay policy sets out how pay increases will be awarded, based on the results of a teacher's appraisal.

Refer to the school's NQT policy for early career teachers.

14.2 Pay Progression for Teachers on Main and Unqualified Pay Scales

Teachers on the Main and Unqualified teachers' pay scales will have their salary reviewed annually in accordance with the relevant paragraphs of the Pay Policy. To move up the pay scale, teachers will need to demonstrate appropriate levels of teacher effectiveness, including:

- Making good progress towards their appraisal objectives; and
- Demonstrating competence at an appropriate level in all elements of the Teachers' Standards as outlined in **Appendix 2**.

The Trust will consider its approach in the light of the School's budget and, where possible, will ensure that appropriate funding is allocated for pay progression at all levels.

14.3 Pay Progression for Teachers onto and on Upper Pay Rate

Within UPR progression to UPR 2 and 3 will be bi-annually. Only in exceptional circumstances will a teacher below M6 on the main scale range be considered ready for an application to the Upper Pay Spine. An application may be made once in an academic year and must be made before the start of the Autumn half term break on the relevant form(s) provided by the school (appendix 3)

- Successful progression will be backdated to a September 1st start.
- If the application is unsuccessful, written notification (see timeline Appendix 1) will indicate where the judgement is that the teacher's application does not satisfy the assessment criteria.

A successful applicant will have demonstrated through the TWO most recent and consecutive appraisal reviews:

- that they meet the "Highly Skilled" criteria (M6 to U1) or the "Expert" criteria (U1 to U2 or U2 to U3) against the Teachers' Standards as in Appendix 4 of the Pay Policy.
- that their achievements and contributions are substantial and sustained as defined in the Highly Skilled or Expert criteria referred to above.

Pay progression onto and within the Upper Pay Spine will be assessed robustly, transparently and equitably by the headteacher. Applications must be made to the headteacher in accordance with the timeline in appendix 1.

Threshold and Upper Pay Rate (post threshold)

Teachers who wish to apply for Threshold Assessment to the headteacher should do so by letter (Appendix 3) by 31st August for Pay review. (Appendix 1 Timeline) If a teacher is wishing to be considered for threshold status on point M6 of the Main Pay Scale the matter should be raised at the Appraisal planning stage so that a discussion can take place regarding the suitability of such an application and appropriate targets set.

Guidance for both teachers and their appraisers, regarding setting targets and providing evidence to support an application to UPR is available via the Assistant headteacher in charge of Performance and Appraisals.

To be awarded Threshold status an applicant must demonstrate that they meet the criteria in The Document 15.2. The School's definitions of "highly competent" and "substantial and sustained" are outlined in the self-assessment document in Appendix 2.

Teachers who are successful at the threshold will be paid in accordance with paragraph 14 of The Document and Appendix 1 of the Pay Policy.

Appendix 1: Appraisal timelines

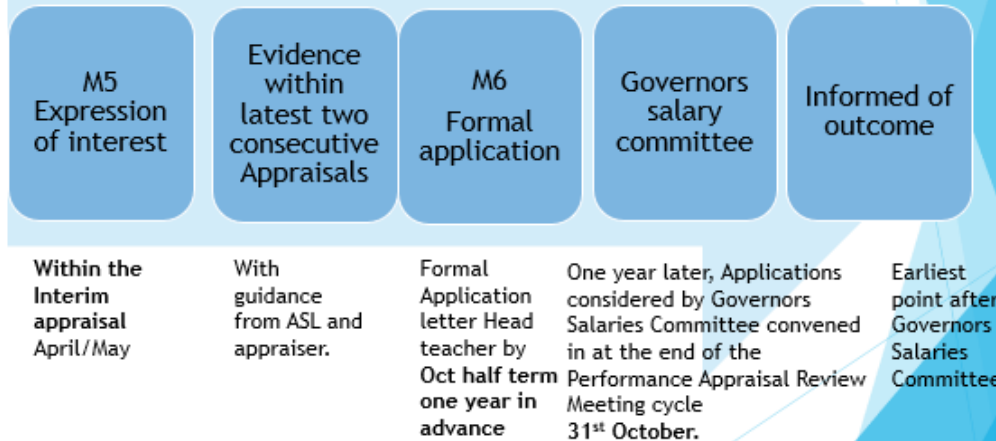
Date	Action
First day of autumn term	Appraisal cycle begins
September – October	Appraisal meeting held to review the previous appraisal period. Discuss and set new objectives, inform teachers of the standards their performance will be assessed against Formal applications for Threshold and UPR progression to Head Teacher
31 October	Appraisal process is completed for teachers, deadline for appraisal reports to be sent
31 December	Appraisal process is completed for the headteacher, deadline for appraisal report to be sent
Three-week window in Spring Term tabled in school calendar	Interim meetings held to review progress and amend objectives where necessary.
Throughout the year	Formal and drop-in observations and monitoring take place, constructive feedback is provided

Threshold and UPR progression applications timeline



Who is eligible to apply?

Timeline



Appendix 2: appraisal report templates

This is completed online within the TEAMS appraisal channel for completion.

Links to these as hard copy for reference below:

[Associate staff report template](#)

[Teaching staff report template](#)

[Main and UPR self-assessment standards](#)

[Leadership self-assessment standards](#)

Appendix 3: Threshold and UPR progression application to the head teacher templates

[Threshold application](#)

[UPR progression](#)