



## Dringhouses Primary School

# Teacher Appraisal Policy

**Signature of Chair of Governors** .....

**Signature of Headteacher** .....

**Date of Adoption:** Spring 20

**Date of Review:** Spring 21

**Reviewing Committee:** FGB

**Statutory / Non-Statutory**

**This is a Local Authority adopted policy.**

## **SECTION 22 – TEACHER APPRAISAL POLICY**

### Status of policy

- This policy was published by the local authority in the summer term 2015 and was reviewed by the local authority in the summer term 2016.

If you have any queries about the application of this policy / procedure, please contact your designated HR Employee Relations Advisor.

### Scope

This policy applies to all teaching staff, including headteachers employed by the school, except those on contracts of less than one term, those undergoing induction (ie NQTs) and those who are subject to formal capability procedures.

This policy and procedure should be applied in accordance with the aims of the Council's Equalities Policy Statement.

National Conditions with elements which are locally determined.

(Contact – Lisa Pannitt, HR Business Partner or relevant Employee Relations Advisor)

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## **1. INTRODUCTION**

- 1.1 This policy emanates from the revised appraisal arrangements that have legal 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). This policy also reflects changes made to teachers' pay in the Schoolteachers Pay and Conditions Document 2013 & 2014.

## **2. PURPOSE**

- 2.1 This policy sets out the framework to be used in this school for a clear and consistent assessment of the overall performance of teachers including the headteacher within the context of the school's plan for improving educational provision and performance, and the relevant standards expected of teachers.
- 2.2 Appraisal in this school will be a supportive and developmental process in the context of the school's improvement plan. It is designed to ensure that all teachers have the skills and support they need to carry out their role effectively. The aims of the policy are to improve outcomes for all children at the school and to ensure that all teachers, including the headteacher, are motivated to continuously develop their skills and improve their performance.
- 2.3 This policy is separate from the school's capability procedure. The Appraisal Policy will address, as positively as possible, any concerns that are identified regarding 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 formal capability procedure.
- 2.4 This policy includes detail that will impact upon the decisions regarding payment of teachers. The policy recognises that with effect from 1 September 2014 all decisions to increase the pay for a teacher will be clearly linked to the teacher's performance as assessed in accordance with this policy.

## **3. APPLICATION OF POLICY**

- 3.1 The policy covers appraisal, and applies to the headteacher and to all teachers employed by the school, except those on contracts of less than one term, those undergoing induction (ie NQTs) and those who are subject to formal capability procedures.
- 3.2 The policy is also linked specifically to the school's pay policy. Decisions of the governing body's Pay Review Committee in relation to pay progression for all teachers will be made with reference to this policy as well as the school's pay policy.

## **4. THE APPRAISAL PERIOD**

- 4.1 It is a statutory requirement that the performance of teachers must be reviewed annually and that one outcome of the review of performance must be a recommendation on pay progression where applicable.

- 4.2 In Dringhouses Primary School the appraisal period will run for twelve months from October 31<sup>st</sup> to within a week of October 30<sup>th</sup>.
- 4.3 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.
- 4.4 Where a teacher starts their employment with the school part way through the school's appraisal cycle, the governing body (in the case of headteachers) or the headteacher (for all other teachers) 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.
- 4.5 Where a teacher transfers to a new post within the school part-way through 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 appraiser.

## **5. APPOINTING APPRAISERS FOR THE HEADTEACHER**

- 5.1 The headteacher will be appraised by the governing body, supported by a suitably experienced external adviser who has been appointed by the governing body for that purpose.
- 5.2 In this school the task of appraising the head teacher, including the setting of objectives, will be delegated to a sub-group consisting of 3 members of the Governing Body.
- 5.3 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 reason for the request.
- 5.4 The governing body will appoint an external adviser to provide advice and support in relation to the development and review of the performance of the headteacher. The external adviser will have a proven expertise in performance development of headteachers and will have no professional connection with the headteacher.

## **6. APPOINTING APPRAISERS FOR TEACHERS**

The headteacher will decide who will appraise other teachers in the school. Staff identified as appraisers will be made fully aware of the requirements of them in that role, including the requirement to make recommendations on pay progression in accordance with the school's pay policy, and provided with appropriate training where required. In this school, appraisers are members of the SLT.

- 6.1 Where teachers have an objection to the headteacher's choice of appraiser, they may submit a written request to the headteacher setting out their concerns. The headteacher will consider this carefully and where appropriate an alternative appraiser will be offered. If an alternative appraiser is required, but one is not available, then the headteacher may become the appraiser himself/herself.
- 6.2 Where it becomes apparent that the appointed appraiser 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. The appraisal cycle will not begin again in the event of the appraiser being changed.

- 6.3 Where an appraiser is appointed who is not the teacher's line manager, the person to whom that role has been delegated will have an appropriate position in the staffing structure, together with the necessary background, knowledge, skills and training to undertake the role.
- 6.4 Where a teacher is experiencing difficulties and the headteacher is not the appraiser, then the headteacher or another appropriate member of the senior leadership team may undertake the role of appraiser.

## **7. SETTING OBJECTIVES**

- 7.1 The headteacher's objectives will be set by the governing body after consultation with the external adviser and the headteacher.
- 7.2 Objectives for each teacher, including the headteacher will:
- be set before, or as soon as practicable after, the start of each appraisal period
  - be Specific, Measurable, Achievable, Realistic and Time-bound (ie SMART) and will contain a description of what success might look like
  - include details of how the achievement or otherwise of the objectives may impact on pay progression recommendations
  - be appropriate to the teacher's role and level of experience
  - be set with regard to what can be reasonably expected in the context of roles, responsibilities and experience, consistent with the school's strategy for achieving a work/life balance for all staff.
- 7.3 The appraiser and appraisee will seek to agree the objectives, but if that is not possible, the appraiser will determine the objectives. (NB: In such cases where the appraiser is not the headteacher, it should be noted that all objectives, and in due course pay recommendations, will be moderated and quality assured by the headteacher, and so in cases of non-agreement on objectives, the final decision will include consideration by the headteacher). In addition note the appeals mechanisms referred to in paragraph 15 and in the school's pay policy.
- 7.4 Appraisees may at any point append their comments alongside objectives.
- 7.5 The appraisee's objectives may be revised during the appraisal cycle if circumstances change.
- 7.6 The objectives set for each teacher will, if achieved, contribute to the school's plans for improving its 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 and the relevant set of Teacher Standards.
- 7.7 The objectives will take account of the professional aspirations of the teacher and any relevant pay progression criteria.

- 7.8 Where use of numerical targets is necessary and 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.
- 7.9 It is recommended that pupil performance data in itself should not be an objective; rather, attainment, pupil progress data and evidence from work scrutiny should be used as a major evidence base for evaluating the quality of teaching.
- 7.10 The number of objectives that each teacher will be expected to achieve in the appraisal cycle will be reasonable and appropriate to their role in the staffing structure. It would be expected that most teachers, in normal circumstances, would have three objectives and dependent on their role and responsibilities no more than five objectives.
- 7.11 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 a member of staff returns from a period of extended absence, objectives may be adjusted to allow them to readjust to their working environment.
- 7.12 Though appraisal is an assessment of overall performance of teachers and the headteacher, objectives cannot cover the full range of a teacher's roles/responsibilities. Objectives will, therefore, focus on the priorities for an individual during the annual cycle.
- 7.13 It is recommended that the objectives should be related to the Teachers' Standards and the school's annual objectives outlined in the school development plan.
- 7.14 At the review stage it will be assumed that those aspects of a teacher's roles/responsibilities not specifically covered by the objectives or any amendment to the statement which may have been necessary in accordance with the provisions of the regulations have been carried out satisfactorily.

## **8. ASSESSMENT OF PERFORMANCE AGAINST THE RELEVANT STANDARDS**

- 8.1 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, and how this may impact on pay recommendations.
- 8.2 All teachers will be assessed against the set of standards contained in the document called "Teachers' Standards" published in July 2011. The headteacher or governing body (as appropriate) will also consider whether certain teachers should also be assessed against other sets of standards published by the Secretary of State that are relevant to them, and where this is the case, those teachers will be notified accordingly. As a minimum all teachers should be competent against all of the Teachers' Standards.
- 8.3 Appraisers will assess qualified teachers against the relevant standards to the level that is consistent with what should reasonably be expected of a teacher in the relevant role and at the relevant stage of their career.

8.4 At the review of a teacher's performance against the Teachers' Standards, the teacher will be expected to provide the following evidence:

- a commentary on their students' progress against the students' academic targets, from the data provided to them by the school
- lesson observation feedback
- feedback from work scrutinies as provided by the school
- good evidence of effective lesson planning, eg observations, planners, schemes of work, etc
- any further evidence which might relate specifically to the teacher's performance development objectives.

The teacher is welcome to provide any other evidence which will exemplify his or her performance against the Teachers' Standards.

## **9. QUALITY ASSURANCE**

9.1 The headteacher will moderate the appraisal process to ensure that all appraisers are working to the same standards. Objectives will be moderated across the school to ensure that they are consistent between teachers with similar experience and levels of responsibility. Pay recommendations made by appraisers will be moderated by the headteacher before being passed to the Pay Review Committee. Such moderation will ensure that recommendations are fair, non-discriminatory, consistent and rooted in clear evidence of the specific teachers' individual performance.

9.2 Any pay progression is not linked to the school budgetary position.

## **10. PAY PROGRESSION**

10.1 Where teachers are eligible for pay progression, the recommendation made by the appraiser will be based on the assessment of their performance against:

- their job description
- the agreed objectives set as part of the appraisal process
- the Teachers' Standards and/or relevant leadership standards if applicable
- observations of classroom teaching in accordance with the school's protocol.
- evidence from work scrutiny
- analysis of pupils' outcomes, including attainment and progress data and pupil targets and outcomes achieved.

10.2 It is important to be clear that the final judgement of a teacher's performance will be considered with reference to the school's context. The expectations of teacher performance should be set to reflect the level of challenge of the school: for example, if the school has high prior attainment on entry and/or is an outstanding school then a high percentage of pupils would be expected to be making better than expected progress from their starting points. If the teacher is working in a school that requires improvement or is in a category of concern this will bring different challenges. If the occasion arises where student progress is not in line with expectations, pay



progression may still occur where the teacher can evidence the interventions used to address underperformance and can evaluate the effectiveness of these.

- 10.3 In this school a recommendation for a teacher to progress by one full point up the relevant pay scale will depend upon the assessment concluding the following:

Assessment of performance linked to pay		
Criterion	Assessment	Progression
Teachers' Standards	Met	If all 4 criteria met then progress by 1 full point on the main pay range
Teaching observations	Good	
Individual objectives	Met or, where appropriate, good progress made	
Job description	Met	

- 10.4 If evidence shows that a teacher has demonstrated **exceptional performance** in relation to the criteria set out in the table above, ie the teacher has:

- demonstrated exceptional performance in a significant number of The Teachers' Standards in accordance with their role and level of responsibility
- has exceeded requirements in relation to their individual objectives, the expectations of the role and level of responsibility as described in their job description, and
- has had the quality of their teaching monitored through observation, work scrutiny (including a focus on the quality of making and feedback) and analysis of pupil performance and found to be consistently outstanding,

a recommendation may be made to the Pay Review Committee to consider use of its discretion to award more than one full point in one year.

- 10.5 If evidence shows that a teacher's performance **has failed to meet, fully**, the criteria set out in the table above, ie the teacher has:

- demonstrated that their performance has not met a significant number of the Teachers' Standards in accordance with their role and level of responsibility
- failed to make sufficient progress towards the requirements in relation to their individual objectives, or
- had the quality of their teaching observed and monitored through pupil performance and work scrutiny and found to be requiring improvement and/or inadequate,

a recommendation may be made to the Pay Review Committee to consider use of its discretion to award no progression.

- 10.6 In cases where the teacher's **performance is causing concern** and is being dealt with in accordance with paragraph 16 of this policy or the school's formal capability procedure, a recommendation may be made to the Pay Review Committee to consider use of its discretion to award no progression up the pay range until the teacher's performance improves to an acceptable level.

- 10.7 If the appraiser is not the headteacher, the recommendation made will be moderated by the headteacher before it is passed to the Pay Review Committee.

- 10.8 The decision made by the Pay Review Committee will be based on the statutory criteria and guidance set out in the relevant *School Teachers' Pay and Conditions Document (STPCD)*, the relevant Teachers' Standards and the school's pay policy.
- 10.9 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.

## **11. REVIEWING PERFORMANCE**

### **Lesson observations**

- 11.1 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.
- 11.2 Accordingly, observations will be carried out in a supportive fashion, with professionalism, integrity and courtesy, and will be evaluated objectively and reported accurately and fairly, and will take account of particular circumstances that may affect performance on the day.
- 11.3 At least five working days' notice of the date and time of the observation will be given, and verbal feedback provided by at least the end of the next school day and written feedback within 5 working days, unless circumstances make this impossible.
- 11.4 Classroom observation will be carried out by qualified teachers.
- 11.5 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.
- 11.6 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.
- 11.7 For the purpose of professional development, feedback about lesson observations should be developmental, not simply a judgement using Ofsted grades.
- 11.8 This school will use the findings of each observation, including appraisal observations, to inform recommendations made regarding pay progression and for other management requirements (for example subject area reviews), thereby seeking to minimise the total number of occasions on which teachers are observed.

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

### **Marking and feedback**

- 11.10 Teachers can expect to have their marking of pupils' work and the feedback they provide monitored on a regular basis throughout the year. The findings of this work scrutiny will be used to contribute to a judgment about the overall performance of a teacher.

### **Pupil progress data**

- 11.11 The impact of a teacher's work will be monitored through analysis of the progress data for the pupils they teach in line with 10.1 of the procedure. Good teaching is likely to lead to pupils in a teacher's class making at least expected progress so that there are more pupils working at the expected standard and at greater depth within the expected standard.
- 11.12 In making an assessment of expected progress, the prior attainment of pupils will be taken into account as well as an assessment of the individual contribution that the teacher has made to the progress of the pupils, for example when classes are shared with another teacher or the impact of any staffing disruption to the group.
- 11.13 If the occasion arises where pupil progress is not in line with expectations, pay progression may still occur where the teacher can evidence the interventions used to address underperformance and can evaluate the effectiveness of these.

## **12. DEVELOPMENT AND SUPPORT**

- 12.1 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.
- 12.2 Professional development will be linked to school improvement priorities and to the ongoing professional development needs and priorities of individual teachers.
- 12.3 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 appraisees, maintaining access on an equitable basis.
- 12.4 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.
- 12.5 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:
- the training and support will help the school/academy to achieve its priorities, and

- the CPD identified is essential for an appraisee to meet their objectives.

12.6 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.

### **13. FEEDBACK DURING APPRAISAL PERIOD**

13.1 Teachers will receive constructive feedback on their performance:

- **regularly throughout the year with at least one interim review**
- that highlights particular areas of strength as well as any areas that need attention; this will not be limited to an Ofsted grade (or similar) following any observation
- that highlights as early as possible any concerns that may, if not addressed, impact upon pay progression
- after any observations, verbally by at least by the end of the next school day and written feedback within 5 working days, unless circumstances make this impossible
- as soon as possible should any other evidence in relation to their performance against the relevant teacher standards come to light.

13.2 The appraisal cycle in this school includes an interim review meeting to allow the appraisee and appraiser to discuss progress towards achieving objectives; and to flag any issues that may impact upon pay progression recommendations. This meeting will be scheduled to take place in the *Spring Term*, with the date being set at the time of the initial appraisal meeting.

13.3 In addition, appraisees are encouraged to alert their appraiser as early as possible, if they have any concerns about meeting their objectives.

13.4 At any stage during the annual appraisal cycle, where there are aspects of a teacher's performance that cause some concern, the relevant member of the SLT will work with the teacher (and their line manager if applicable) to establish more specific areas for improvement. An **Individual Support Plan** (ISP) will be developed that includes the areas for improvement, the timeframe, any associated actions and the support that will be offered.

### **14. ANNUAL ASSESSMENT**

14.1 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.

14.2 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. 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

- a summary and overall judgement of the teacher's performance as judged following classroom observations in accordance with the school's protocol
- a recommendation on pay where that is relevant **(NB: pay recommendations need to be made at the latest by 31 December for headteachers and by 31 October for other teachers)**
- an assessment of the teacher's training and development needs and identification of any action that should be taken to address them
- a space for the teacher's own comments

14.3 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.

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

## **15. APPEALS**

15.1 Appraisees have a right of appeal against any of the entries in the written appraisal report.

15.2 Where the headteacher has not been recommended for pay progression, (s)he will be informed by the appropriate governor.

15.3 The headteacher will notify any teacher who has not been recommended for pay progression of the date when the Pay Review Committee meets to consider pay recommendations, following which the teacher (and headteacher when the headteacher has not been recommended for pay progression) may exercise the right of appeal as set out in the school's pay policy.

## **16. DEALING WITH CONCERNS ABOUT PERFORMANCE**

16.1 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.

16.2 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.

16.3 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 meet the teacher to:

- give clear written feedback to the teacher about the nature and seriousness of the concerns
- give the teacher the opportunity to comment on and discuss the concerns

- give the teacher at least 5 working days' notice 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 representative of an independent trade union or work place colleague, and at any future meetings where capability will be discussed
- 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
- make clear how progress will be monitored and when it will be reviewed
- make clear that as a result of concerns being dealt with in this way, pay progression will be affected and is likely to lead to a recommendation being made that no increase in pay should be agreed
- explain the implications and process if no, or insufficient, improvement is made – ie, the possibility that action under the school's formal capability procedure could be initiated, which could ultimately lead to dismissal.

16.4 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. The time for improvement will depend upon the circumstances and will be clearly specified, 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.

16.5 At the end of the period specified in the action plan by when it is agreed improvements should have been made, a review meeting with the appraiser or headteacher will be convened to review performance.

16.6 **If sufficient progress has been 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 will be informed of this. Following this review meeting, the appraisal process will continue as normal.

16.7 If **no, or insufficient improvement has been made** over this period, the teacher will be advised of this at the review meeting (paragraph 16.5). The teacher will also be advised that they will be invited to attend a formal meeting in line with the Teacher Capability Policy (section 6), to determine whether there are continued concerns about the standard of performance. If the decision at the formal meeting is that there are sufficient continued concerns, a formal warning will be issued and the process set down in the Teacher Capability Policy will be followed. Where it is determined that it would be more appropriate to continue to address the remaining concerns through the appraisal policy, the employee will be advised of this and a timescale will be communicated.

## **GENERAL PRINCIPLES UNDERLYING THIS POLICY**

### **17. ACAS Code of Practice on Disciplinary and Grievance Procedures**

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

### **18. Consistency of treatment and fairness**

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

### **19. Sickness**

- 19.1 If long term sickness absence appears to have been triggered by the start of monitoring as a result of concerns about a teacher's performance having been raised with them, the case will be dealt with in accordance with the school's absence policy.
- 19.2 This will normally include the teacher being 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. In some cases it may be appropriate for the process 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.

### **20. Grievances**

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

### **21. Confidentiality and professional relationships**

- 21.1 The appraisal process will be treated with confidentiality. 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. In addition the headteacher or another appropriate member of the senior leadership team may have access to the appraisal documentation for the purpose of moderation, or for support to be given in terms of performance management. The Pay Review Committee may also have access to documentation, as required, in line with the school's pay policy.
- 21.2 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 appraisee before seeking information from other colleagues about the work of the appraisee.
- 21.3 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.

## **22. Monitoring and evaluation**

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

22.2 The headteacher will provide the governing body with a written report on the operation of the school's/academy'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.

22.3 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.

## **23. Retention**

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



## **ANNEX 1 – CLASSROOM OBSERVATION PROTOCOL**

- The Governing Body is committed to ensuring that classroom observation is developmental and supportive and that those involved in the process will:
  - carry out the role with professionalism, integrity and courtesy
  - evaluate objectively
  - report accurately and fairly, and
  - respect the confidentiality of the information gained.

Teachers' performance will be observed on an appropriate and reasonable number of occasions, based on the individual circumstances of the teacher and the overall needs of the school. In this school, it has been agreed that the total period for classroom observation arranged for any teacher will not normally exceed 3 formal observations, however there will be a series of other monitoring activities, including learning walks.

- The amount of observation for each teacher should reflect and be proportionate to the needs of the individual and may therefore exceed this amount of time. These exceptions are likely to be in cases where concerns have been raised about a teacher's performance, or where the teacher requests additional observation visits.
- The arrangements for classroom observation will be included in the appraisal plan. They will include the amount of observation, and will specify its primary purpose, any particular aspects of the teacher's performance that will be assessed, the duration of the observation, when during the performance management cycle the observation will take place and who will conduct the observation.
- Where evidence emerges about the reviewee's teaching performance that gives rise to concern during the cycle, classroom observations may be arranged in addition to those recorded at the beginning of the cycle subject to a revision meeting being held in accordance with the Regulations.
- Information gathered during the observation will be used, as appropriate, for a variety of purposes including to inform pay recommendations, school self-evaluation and school improvement strategies in accordance with the school's commitment to streamlining data collection and minimising bureaucracy and workload burdens on staff.
- In keeping with the commitment to supportive and developmental classroom observation, those being observed will be notified in advance.
- Classroom observations will only be undertaken by persons with QTS. In addition, in this school classroom observation will only be undertaken by those who have had adequate preparation and the appropriate professional skills to undertake observation and to provide constructive oral and written feedback and support, in the context of professional dialogue between colleagues.
- Oral feedback will be given as soon as possible after the observation and no later than the end of the following working day. It will be given during directed time in a suitable, private environment.
- Written feedback will be provided within five working days of the observation taking place. If issues emerged from an observation that were not part of the focus of the observation as recorded in the planning and review statement these should also be

covered in the written feedback and the appropriate action taken in accordance with the regulations and guidance.

- The written record of feedback also includes the date on which the observation took place, the lesson observed and the length of the observation. The teacher has the right to append written comments on the feedback document. No written notes in addition to the written feedback will be kept.
- A headteacher has a duty to evaluate the standards of teaching and learning and to ensure that proper standards of professional performance are established and maintained. Headteachers have a right to drop in to inform their monitoring of the quality of learning.
- Clearly the performance management arrangements are integral to fulfilling this duty and headteachers may consider the classroom observations they have agreed for performance management are sufficient and that drop in will not be needed.

In this school: as this school is a large school, drop ins will be undertaken by the head teacher supported by the following appropriate and designated members of the leadership team: Deputy Headteacher; Assistant Headteacher; SENCO; Team Leaders.

Drop ins will only inform the appraisal process where evidence arises which merits the revision of the objectives agreed at the beginning of the process.