



Phoenix
FEDERATION

TEACHER APPRAISAL POLICY

Chair of Governors: Mr. Ade Onagoruwa
Executive Headteacher: Mr. Dean
Gordon

Date: _____

Date to be reviewed: _____

Introduction

The Education (School Teachers' Appraisal) (England) Regulations 2012 (the Appraisal Regulations) came into force on 1 September 2012 and replaced the Education (School Teacher Performance Management) (England) Regulations 2006 (the 2006 Regulations).

Under statutory regulations, appraisal arrangements for all teachers in maintained schools in England will be changing from 1 September 2013. *Decisions about teachers' pay progression will be linked to performance, rather than length of service, resulting in the first annual performance-related progression pay increases being made in September 2014. The school's Pay Policy has been amended as a result and should be read in conjunction with this Appraisal Policy.*

The new regulations will apply to any teacher employed for one school term or more, in a community, voluntary, foundation, community special or foundation special school or a maintained nursery school, whether employed by the governing body of that school or by the local authority to work in that school.

The new regulations place a legal obligation on qualifying schools to have an appraisals procedure in place for all teachers and a capability procedure in place for all staff.

The regulations do not apply to a teacher whilst that teacher is undergoing an induction period or whilst a teacher is the subject of a formal capability procedure.

Support staff are not covered by the regulations and this model policy applies only to teachers, including headteachers, although schools may wish to adapt it for use with all staff in the future.

The teacher unions locally in Lewisham have been consulted regarding this model policy.

Any queries regarding this model policy should be directed to the Children and Young People Services Directorate - Schools' HR.

Model policy for appraising teacher performance

The Governing Body of Phoenix Federation adopted this policy on 1st October 2020

It will review it on/in September 2021.

Purpose

This policy sets out how this school aims to improve outcomes for children/students, and raise the morale of teachers, by motivating teachers to up-date their skills and improve their performance.

This policy also sets out the framework for a clear and consistent assessment of the overall performance of teachers, including the head teacher, and for supporting their development within the context of the school's improvement plan for improving educational provision and performance, and the standards expected of teachers. It also refers to the arrangements that will apply in relation to pay progression and where any concerns are raised about a teacher's performance.

Application of the policy

This policy covers appraisal and applies to the headteacher and to all teachers* employed by the school or local authority, except those on contracts of less than one term, those undergoing induction (ie NQTs) and those who are subject to formal capability proceedings under the school's separate Capability Procedure.

*The policy also applies to (*insert any other staff, if appropriate, or delete*).

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.

The appraisal period

The appraisal period will be for twelve months and will begin on 1 September; it must be completed by 31 October for teachers and by 31 December for headteachers. The cycle will begin with a planning meeting and will end with a review meeting. Mid-year review meetings may also be held if considered necessary.

Teachers who are employed on a fixed term contract of less than twelve months will have their performance managed in accordance with the principles underpinning this policy. The length of the appraisal period will be determined by the duration of their contract.

Where a teacher starts their employment or transfers to a new post within the school part-way through a performance management cycle, the headteacher or, in the case where the employee is the headteacher, the Governing Body shall determine appraisal arrangements for the remainder of the appraisal period, with a view to bringing his/her cycle into line with the cycle for other teachers as soon as possible.

Appointing appraisers

All appraisers of teachers will be suitably trained and will normally have QTS, save in the particular circumstances of the school or establishment concerned.

Headteacher

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. The qualifications and experience required of an external adviser are not set by regulation. It is for the governing body to decide who they wish to use as an external adviser, ideally with the agreement of the headteacher.

** Role of the external adviser - to use available evidence to advise the governing body on agreeing the head's objectives and reviewing performance against those objectives. Regulations require all schools to secure external advice. The work of the external adviser will normally include:*

- *reading, reviewing and analysing documents supplied, and giving written advice to the appointed governors, which review's the head's progress against objectives and suggests areas for future objectives;*
- *holding pre-review meetings with the head and with the appointed governors attending the review meeting and carrying out agreed functions;*
- *carrying out any agreed post-review work*

The task of appraising the headteacher, including the setting of objectives, will be delegated to a sub-group consisting of normally two/three members of the Governing Body.

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 to the Chair of Governors for that governor to be replaced, stating the reasons for the request. The final decision will rest with the Chair of Governors; however advice may be sought from Schools' HR.

Teachers

The choice of appraiser is for the headteacher. Where teachers have an objection on professional grounds to the headteacher's choice, their concerns should be put in writing. Their objections will be carefully considered and an alternative appraiser may be offered. Where the objections are rejected by the headteacher the teacher should be advised in writing. All appraisers appointed by the headteacher will be suitably trained.

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 appraiser for the duration of that absence.

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.

Where a teacher is experiencing difficulties and the headteacher is not the appraiser, a suitably senior member of the leadership team may undertake the role of appraiser. See also section on Teachers Experiencing Difficulties.

Setting objectives

The setting and agreement of objectives is fundamentally important to the effective operation

of a performance management system that aims to link individual performance to pay progression. A number of reference documents may be used to help identify relevant objectives for each teacher, for example the job description, the school improvement plan, the school's business plan, the Ofsted School Inspection Report and the Teachers Standards. In addition some flexibility may need to be built in around issues that are emerging for the school so as to allow for objectives to be adjusted throughout the appraisal period so that they remain relevant to the performance of the individual and to the priorities of the school. Objectives should be SMART -

S = Specific

M = Measurable

A = Achievable

R = Relevant

T = Timed

The headteacher's objectives will be set before, or as soon as practicable after, the start of each appraisal period by the appraisal sub-group of the Governing Body and after consultation with the external adviser and the headteacher.

Objectives for each teacher will be set before, or as soon as practicable after, the start of each appraisal period. The objectives set will be appropriate to the teacher's role and level of experience. In setting the objectives, appraisers/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. Teachers may at any point append their comments alongside their objectives.

The appraiser and the teacher 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. However, appraisal objectives will normally become more challenging as a teacher progresses up the pay range. Should the objectives not be agreed, the final decision on allocation of objectives rests with the headteacher.

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 the teacher's control may significantly affect success.

The Headteacher/Governors will be mindful that setting too many objectives can lead to teachers experiencing unreasonable workload and pressure, making the objectives more difficult to achieve. Therefore, generally three to four objectives would be considered reasonable, save in exceptional circumstances where more objectives may be required.

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.

The appraiser will take into account the effects of an individual's circumstances, including any disability, when agreeing any objectives.

Objectives will be set out in a planning statement, along with details of any training and support which have been agreed. The planning statement should also specify the evidence that will be collected to support the review of the performance including details of the arrangements for task or classroom observation, where relevant.

Teachers' Standards

Under the appraisal arrangements that take effect from 1 September 2013, the performance of all teachers, regardless of their career stage, will be assessed against the Teachers' Standards. The standards define the minimum level of practice expected of trainees and teachers from the point of being awarded QTS.

The standards against which performance must be assessed in respect of a teacher are the set of standards articulated in the Teachers' Standards document and any other set of standards relating to teachers' performance published by the secretary of state as the governing body or headteacher determine as being applicable.

In order to meet the Teachers' Standards, a teacher will need to demonstrate that their practice is consistent with the definitions set out in Part 1 (Teaching) and Part 2 (Personal & Professional Conduct). **(see Teachers' Standards Appendix attached)**

Gathering the evidence

As part of the overall appraisal process, it is critically important that all members of staff who are subject to the school's teacher appraisal policy are clear about the evidence that will be required by their appraiser to enable the appraiser to assess their performance and for the headteacher to make a substantiated and evidence-based pay recommendation to the 'decision maker'.

Judgements relating to performance should be supported by evidence, agreed at the beginning of the performance cycle. Evidence should show and demonstrate a contribution towards:

- an increasing positive impact in pupil progress;
- an increasing impact on wider outcomes for pupils;
- improvement in specific elements of practice, e.g. lesson planning;
- an increasing contribution to the work at the school;
- an increasing impact on the effectiveness of staff.

The evidence gathered will largely be determined by the nature and scope of the agreed objectives and / or the Teachers' Standards. Examples of evidence may include:

- classroom observations
- task observations
- reviews of assessment results
- appropriate and relevant planning of learning
- internal tracking including pupil work sampling
- moderation within and across schools
- evidence supporting progress against Teachers' Standards

Any classroom or task observations will be carried out in accordance with the schools 'classroom and task observation protocol'. Classroom observation will be carried out by suitably trained appraisers. Appropriate notice of the date and time of the observation will be given and verbal feedback provided by the end of the next school day in a suitable private environment. Written feedback will be provided within 5 working days, unless circumstances make this impossible. The appraisee has the right to append written comments to the feedback document.

For appraisal purposes, the governing body is committed to ensuring that classroom and task 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.

The arrangements for classroom / task observation will be stated in the appraisal planning statement and will include the amount of observation, specify its primary purpose, any particular aspects of the employee's performance which will be assessed, the duration of the observation, when, during the appraisal cycle, the observation is likely to take place and who is likely to conduct the observation.

Where evidence emerges about the teachers' performance, which gives rise to concern during the cycle, or where the teacher requests additional observation visits, additional observations may be arranged during the cycle.

Headteachers or other leaders with responsibility for learning and teaching standards may 'drop in' or undertake other observations to ensure that high standards of professional performance are established and maintained. The length and frequency of 'drop in' or other observation, 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' protocol. Additional monitoring activities such as task observation, reviews of assessment results and appropriate and relevant planning of learning may also be carried out.

For the purpose of professional development, feedback about lesson observations should be developmental, not simply a judgement using Ofsted grades, as in addition to performance management, observations can be used to share best practice and promote a learning culture.

The school will use the findings of each observation, including appraisal observations, for other management requirements, for example subject area reviews.

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

It should be noted that, as part of their overall inspection framework, Ofsted will expect to see evidence in schools that the appraisal procedure is used effectively and enables school improvement. If appraisal evidence is not available, this is likely to impact negatively on the Ofsted Inspection Grade for Leadership and Management. This school intends to generate and retain as much reasonable 'appraisal system' evidence as practically possible.

Reviewing Performance and the Annual Assessment

Teachers will receive constructive feedback on their performance throughout the year and as soon as practicable after observation has taken place or other evidence has come to light. Feedback will highlight particular areas of strength as well as any areas that need attention.

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.

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. This will be provided by 31 October for teachers and by 31 December for the headteacher, save in exceptional circumstances. The report will record the overall performance assessment and pay recommendation and 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 Teacher 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;
- a space for the teacher's own comments;

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.

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

Good progress towards the achievement of a challenging objective, even if the performance criteria have not been met in full, may be assessed favourably. If agreement cannot be reached, especially on the outcomes of an appraisal meeting, the teacher may appeal to the head teacher or in the case of the headteacher may appeal to the chair of the governing body, whose decisions will be final – see Appeals section below.

The overall assessment of performance and its subsequent performance rating for individual teachers will be subject to a process of moderation, arrangements for which will be put in place by the headteacher with the approval of the governing body.

The final version of the appraisal documentation will be placed on the teacher's file and a copy of their CPD made available to the school's CPD Coordinator. The sharing of such information is governed by the data protection principles under the Data Protection Act 1998.

Continuing Professional Development (CPD) and Support

Appraisal is a supportive process which will be used to inform continuing professional development. The school wishes to encourage a culture in which all teachers take responsibility for improving their teaching through appropriate professional development, through peer observation for example. Professional development will be linked to school improvement priorities and to the ongoing professional development needs and priorities of individual teachers.

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 teachers. As far as possible CPD will make best use of the school's own expertise. Teachers also have a responsibility to develop their own CPD and are expected to be proactive in developing their own practice to meet school objectives.

An account of the training and development needs of teachers will form part of the headteacher's annual report to the Governing Body about the operation of the appraisal process in the school.

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 a teacher to meet their objectives.

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.

Pay progression linked to performance

The governing body will consider annually whether or not to increase the salary of teachers who have completed a year of employment since the previous annual pay determination and, if so, to what salary within the relevant pay ranges.

All pay recommendations should be clearly attributable to the performance of an employee.

The governing body will decide how pay progression will be determined, subject to the following:

- a. The decision, whether or not to award pay progression, must be related to a teacher's performance
- b. A pay recommendation must be made in writing as part of a teacher's annual appraisal report.
- c. Where a teacher is not subject to either the 2012 or the 2011 regulations, the governing body will determine through what process the teacher's performance will be assessed and a pay recommendation made for the purposes of making its decision on pay.
- d. Continued good performance, as defined by the school's pay policy, should give a classroom or an unqualified teacher an expectation of progression to the top of their respective pay ranges.
- e. Decisions not to progress up the relevant pay range will only be made in circumstances where significant concerns about standards of performance have been raised in writing with the teacher during the annual appraisal cycle.

A written cause for concern will also document the support to be provided by the school to address the area requiring improvement.

The governing body has set out clearly in the school's Pay Policy how pay progression will be determined. The headteacher will be responsible for ensuring that appropriate arrangements are put in place to support the links between performance and pay and that rates of pay progression are affordable and comply with prevailing legislation (e.g. Equal Pay).

Where teachers are eligible for pay progression, the recommendation made by the appraiser/headteacher will be based on an assessment of performance against agreed performance objectives. The decision made by the governing body will be based on the statutory criteria and guidance set out in the STPCD and the relevant teacher standards.

To move up the main pay range, one point at a time, teachers will need to have made good progress towards achieving their objectives and have demonstrated that they are competent in all elements of the Teachers' Standards. Teaching should be over time consistently 'good', as defined by Ofsted.

If the overall appraisal evidence shows that a teacher has demonstrated exceptional performance, the governing body may consider awarding enhanced pay progression, up to a maximum of two reference points. Teaching should be over time consistently 'outstanding', as defined by Ofsted.

The headteacher will consult with staff and union representatives on the establishment of appraisal and pay policies and will ensure that appraisers have the knowledge and skills to apply procedures fairly.

Teachers will work with their appraisers to ensure that there is sufficient evidence to support pay recommendations. Teachers will also keep records of objectives and review them throughout the appraisal period.

Applications to be paid on the Upper Pay Range

From 1 September 2013, any qualified teacher can apply to be paid on the Upper Pay Range. All applications should include the results of appraisals; where such information is not available, a written statement and summary of evidence that sets out how the applicant has met the assessment criteria will be sufficient. Teachers who have been absent through sickness, disability or maternity may cite written evidence over a 3-year period before the date of the application.

To be assessed successfully, a teacher will be required to meet the criteria set out in the School Teachers' Pay and Conditions Document (STPCD):

- The teacher is 'highly competent' in all the elements of the Teachers' Standards;
- The teacher's achievements and contribution to the school is 'substantial' and 'sustained'.

In this school this means that the teacher's performance is assessed as demonstrating consistently and over time:

Highly competent

The teacher's performance is assessed as demonstrating excellent depth and breadth of knowledge, skills and understanding of the Teachers' Standards in the particular role they are fulfilling and the context in which they are working.

Substantial

The teacher's achievements and contribution to the school are significant, not just in raising standards of teaching and learning in their own classroom but also in making a significant wider contribution to school improvement which impacts on pupil progress and the effectiveness of staff and colleagues.

Sustained

The teacher must have had two consecutive successful appraisal reports and have made good progress towards their objectives; they will have been expected to have shown that their teaching expertise has grown over the relevant period and is consistently good to outstanding.

Leading Practitioner role

EITHER:-

As stated in the school's Pay Policy it is not the intention of the governing body to create a leading practitioner role at this time but the governing body will review its position from time to time.

OR:-

The governing body will take account of paragraph 56 of the Schoolteachers Pay and Conditions Document when determining the role of leading practitioner in this school.

Typically, the additional duties of a leading practitioner role will include:

- A leadership role in developing, implementing and evaluating policies and practices in a school that contribute to school improvement;

- The improvement of teaching within school which impacts significantly on pupil progress;
- Improving the effectiveness of staff and colleagues, particularly in relation to specific areas e.g. lesson planning.

The head teacher will agree appraisal objectives for the leading practitioner, who, in turn, must demonstrate that, they:

- have made good progress towards their objectives;
- are an exemplar of teaching skills which should impact significantly on pupil progress within school and within the wider school community;
- have made a substantial impact on staff and colleagues, including any specific elements of practice that have been highlighted as in need of improvement;
- are highly competent in all aspects of the Teachers' Standards;
- have shown strong leadership in developing, implementing and evaluating policies and practices in their workplace that contribute to school improvement.

TEACHERS EXPERIENCING DIFFICULTIES

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.

Where it is apparent that a teacher's personal circumstances are leading to difficulties at school, reasonable support will be offered as soon as possible, without waiting for the formal annual assessment.

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 feedback to the teacher about the nature and seriousness of the concerns;
- give the teacher the opportunity to comment 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 he/she 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 clear expectations and agreed 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;
- it may be appropriate to revise objectives, and it will be necessary to allow sufficient time for improvement. The amount of time is up to the school but should reflect the seriousness of the concerns as well as the impact on the children's learning and colleagues;
- explain the implications and process if no – or insufficient – improvement is made.

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.

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 and/or headteacher. Following this meeting the appraisal process will continue as normal, with any remaining issues continuing to be addressed through that process. However the teacher will be expected to maintain this level of standard.

Transition to Capability

If insufficient improvement has been made or the concerns are sufficiently serious, the teacher will be invited to a transition meeting to inform him/her that formal capability proceedings will need to be commenced under Stage 2 of the school's Capability Procedures. The teacher may be assisted by a trade union representative or work colleague and will have 5 working days notice of the meeting.

Advice may be sought from Schools' HR at any stage of the process.

APPEALS

Appraisal report

Where a teacher objects to any of the entries in the written appraisal report, those objections should be put in writing and, if requested, a meeting will be held to discuss this with the headteacher. If it relates to entries made by the headteacher, or where the headteacher has objections to any entries in his/her own report, the meeting will be held with the Chair of Governors or an alternative nominated governor not already involved in the process, as appropriate. There will be no further right of appeal beyond this meeting.

Pay progression - where the head teacher has not been recommended for pay progression he/she will be informed by the Chair of Governors. The head teacher will notify any teacher who has not been recommended for pay progression. Any subsequent pay appeal will be processed in accordance with the school's pay appeal procedure as set out in Appendix A of 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 stages under the school's Capability Procedure 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.

Definitions

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

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 adviser will always be sought 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. Advice should be sought from Schools' HR on a case by case basis.

Confidentiality & Professional Relationships

The appraisal and capability processes will be treated with confidentiality.

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

However, the desire for confidentiality does not override the need for the head teacher, other members of the senior leadership team and governing body to quality-assure the operation and effectiveness of the appraisal system. The head teacher 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 head teacher will need to be aware of any pay recommendations that have been made.

Monitoring and Evaluation

The governing body and head teacher will monitor the operation and effectiveness of the school's appraisal arrangements, including carrying out an annual equalities impact assessment.

Retention

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