



# APPRAISAL POLICY

**Responsible Person:** The governing body  
**Reviewed:**

**Date:** September 2019

**Status:** Draft

**Review by:** September 2020

## **INTRODUCTION**

The trustees and local governing bodies of The Samara Trust has adopted this appraisal policy in accordance with the Education (Schools Teachers' Appraisal) (England) Regulations 2012. Sections in **bold** are required by those regulations.

## **APPLICATION OF THE POLICY**

The policy applies to the principal and to all teachers employed by the school except teachers on contracts of less than one term, those undergoing induction (i.e. NQTs) and those who are the subject of capability procedures.

## **PURPOSE**

This policy sets out the framework for a clear and consistent assessment of the overall performance of teachers and the principal and for supporting their development needs within the context of the school's improvement plan and their own professional needs. Where teachers are eligible for pay progression, the assessment of performance throughout the cycle will be the basis on which the recommendation is made by the appraiser.

This policy should be read in conjunction with the school's pay policy which provides details of the arrangements relating to teacher's pay in accordance with the School Teachers' Pay and Conditions Document.

## **LINKS TO SCHOOL IMPROVEMENT**

**The local governing body expect that objectives set for all teachers including the principal\* (or interim post holder), if achieved, will improve the education of pupils at our school and contribute to the implementation and achievement of the School Strategic Improvement Plan and any other plans adopted from time to time to improve the school's education provision and performance.**

## **CONSISTENCY OF TREATMENT AND FAIRNESS**

The local governing body is committed to ensuring consistency of treatment and fairness in the operation of teacher appraisal.

To ensure this the following provisions are made in relation to moderation and quality assurance.

### **Quality assurance**

The principal has determined that s/he will delegate the appraiser role for some or all teachers for whom s/he is not the line manager.

The principal will moderate a sample of appraisal reports to check that the objectives and standards recorded in the reports of teachers at the school:

- Are consistent between those who have similar experience and similar levels of responsibility.

- Comply with the school's appraisal policy, the regulations and the requirements of equality legislation

The local governing body will review the quality assurance processes when the appraisal policy is reviewed.

### **APPOINTMENT OF APPRAISERS FOR THE INTERIM PRINCIPAL**

In this school **the Samara Trust executive and senior leadership team is the appraiser for the principal** and to discharge this responsibility on its behalf may appoint 2 or 3 local governors.

Where the principal is of the opinion that any of the Samara Trust executive and senior leadership team or governors appointed by the Samara Trust executive and senior leadership team under this regulation is unsuitable for professional reasons, s/he may submit a written request to the governing body for that governor to be replaced, stating those reasons.

### **Appointment of External Adviser**

**The governing body may appoint an external adviser to provide advice and support in relation to the appraisal of the principal. The governing body will consult the external adviser before setting the principal's objectives**

### **APPOINTMENT OF APPRAISERS FOR TEACHERS**

The principal must ensure that the appraisal of every other teacher employed in the school is carried out. The principal may delegate this duty, to the teacher's line manager or another suitably qualified member of staff in this school or the Trust. The principal may decide that the principal will be the appraiser for those teachers s/he directly line manages and will delegate the role of appraiser to another suitably qualified member of staff for some or all other teachers.

Where it becomes apparent that the appraiser will be absent for the majority of the cycle the principal may perform the duties himself/herself or delegate them to another teacher. Where this teacher is not the appraisee's line manager the teacher will have an equivalent or higher status in the staffing structure as the teacher's line manager. The appraisal cycle will not begin again in the event of the appraiser being changed.

All those to whom the principal has delegated the role of appraiser will receive appropriate training for that role.

Where a teacher is of the opinion that another teacher to whom the principal has delegated the role of appraiser is unsuitable, they may submit a written request to the Principal for that appraiser to be replaced, stating the reasons why.

### **THE APPRAISAL PERIOD**

**The appraisal period will be twelve months.**

The appraisal cycle in this school will run from October to October for teachers, and from October to October for the principal.

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 the provisions of this policy. **The length of the cycle will be determined by the duration of their contract.**

Where a teacher starts their employment at the school part-way through a cycle, the principal or, in the case where the teacher is the principal, the Samara Trust executive and senior leadership team

shall determine the length of the first cycle for that teacher, with a view to bringing their cycle into line with the cycle for other teachers at the school as soon as possible.

Where a teacher transfers to a new post within the school part-way through a cycle, the principal or, in the case where the teacher is the principal, the Samara Trust executive and senior leadership team shall determine whether the cycle shall begin again and whether to change the appraiser.

## STANDARDS

Teachers will be assessed against the "Teachers Standards" and any other standards relating to teachers' performance published by the Secretary of State as the governing body or principal determines is applicable to the performance of any individual teacher. **Teachers will be informed of these at the start of each appraisal period.**

The performance assessment of the principal and any vice-principal (or assistant headteacher/principal) will be assessed against the National Standards for Headteachers and any other standards relating to teachers' performance published by the Secretary of State as the governing body determines is applicable to their performance and **will be informed of this at the start of the appraisal period.**

## OBJECTIVE SETTING

The objectives set will be rigorous, achievable, time-bound, fair and equitable in relation to teachers with similar roles/responsibilities and experience, and will have regard to what can reasonably be expected of any teacher at a given point of their career progression. For part-time teachers, appraisers will also have regard to the teacher's hours of work as a proportion of full time colleagues. The Samara Trust executive and senior leadership team also recognise the desirability of staff being able to achieve a satisfactory work-life balance. Objectives will take account of any relevant pay progression criteria and, where possible, the teacher's professional aspirations. **They will be such that, if they are achieved, they will contribute to improving the education of pupils at the school and the implementation of any plans of the governing body or principal designed to improve the school's education provision and performance.**

**Objectives will be set before or as soon as practicable after the beginning of the appraisal period.** The appraiser and appraisee will seek to agree the objectives but where a joint determination cannot be made the appraiser will make the determination and the appraisee may record their objections in the appraisal report.

In this school:

- Teachers, including the principal, will not necessarily all have the same number of objectives.
- All teachers, including the principal, will have a whole school objective.

Though appraisal is an assessment of overall performance objectives cannot cover the full range of a teacher's roles/responsibilities. Objectives will, therefore, focus on the priorities for an individual for the cycle. At the review stage teachers will also be assessed against the Teachers Standards and any other standards relating to teachers' performance published by the Secretary of State as the governing body or principal determines is applicable to the performance of any individual teacher. Teachers will be informed of these at the start of each appraisal period.

## REVIEWING PROGRESS

Progress and performance will be reviewed and addressed on a regular basis throughout the year. This may include scheduled review meetings and will include day to day dialogue between the appraisee and their appraiser and a number of lesson observations. Feedback will be constructive and will highlight particular areas of strength as well as any areas that may need attention.

This school believes that the observation of classroom practice is one method, amongst many, that is important both as a way of assessing teachers' performance in order to identify any particular strengths and areas for development they may have and of gaining useful information which can inform school progress. To that end, the number of observations carried out in any school year may vary depending on the needs of the school. All observations will be supportive and feedback will be given as soon as part of the lesson observation or as soon as is practicable afterwards. If any issues relating to performance come to light this will be followed up by the appraiser and support will be given to the appraisee.

Teachers (including the principal) who have responsibility outside the classroom will also have their performance in these responsibilities reviewed and, if appropriate, observed.

Incremental progression for all teachers will be dependent on a successful appraisal. It will be possible for a "no pay progression" determination to be made without recourse to the capability procedure. However, where a teacher is not making sufficient progress for a successful appraisal to be a likely outcome, the appraiser will write to the teacher as soon as this becomes apparent to alert them and agree appropriate support.

- Where concerns about a teacher's performance (including concerns arising from any lesson observation, book scrutiny, professional conduct etc.) require more structured intervention the appraiser (or another qualified teacher nominated by the principal) will meet the teacher/principal to begin a dialogue which will give clear feedback about the nature and seriousness of the concerns.
- Ask the teacher/principal to comment on the concerns.
- Review objectives and their timescales if appropriate.
- Discuss and agree any support (eg coaching, mentoring, structured observation), that will be provided to help address the concerns.
- Set dates for further review of progress, allowing sufficient time for improvement.
- Explain the implications if insufficient progress is made.

The review of objectives and any other performance issues and any support agreed will be set out in a clear action plan.

When progress is reviewed, if the appraiser is satisfied that the teacher has made, or is making, sufficient improvement, the appraisal process will continue as normal, with any remaining issues continuing to be addressed through that process.

### **Transition to capability**

If the appraiser is not satisfied with the progress made during the review period above, the teacher will be notified in writing that the appraisal process will no longer apply and that their performance will be managed under the capability procedure, and will be invited to a formal capability meeting.

### **ANNUAL ASSESSMENT**

At the end of the appraisal cycle, the appraiser(s) will meet the appraisee to assess the performance of the teacher or principal and determine whether their appraisal is assessed as successful.

This school's criteria for determining a successful appraisal for each category of teacher is set out in the School's Pay Policy which should be read in conjunction with the Appraisal Policy.

In determining an appraisal assessment, the appraiser(s) will consider the appraisee's performance against:

- The "Teachers Standards" or the National Standards for Headteachers as applicable.
- Any other set of standards relating to teachers' or principals'/headteachers' performance published by the Secretary of State and about which the teacher has been notified at the beginning of the appraisal period.
- The teacher or principal's objectives.

- The teacher or principal's professional development needs.

The appraiser(s) will also where relevant under the School Teachers' Pay and Conditions Document, make a recommendation relating to the teacher or principal's pay.

**In relation to the principal, governors will consult the external adviser when assessing performance.**

Assessment of performance against an objective will be on the basis of the performance criteria set at the beginning of the cycle. Good progress towards the achievement of a challenging objective, even if the performance criteria have not been met in full, will be assessed favourably.

The appraisal cycle is annual, but on occasions it may be appropriate to set objectives that will cover a period over more than one cycle. In such cases, the basis on which the progress being made towards meeting the performance criteria for the objective will be assessed at the end of the first cycle and will be recorded in the report at the beginning of the next cycle.

### **APPRAISAL STATEMENT**

**As soon as practicable (normally within two calendar weeks) following the end of each appraisal period, teachers will be provided with a written report which will record the assessment of their performance against the criteria set out above.**

**The report will also, where relevant under the School Teachers' Pay and Conditions Document, record a recommendation relating to the teacher or principal's pay.**

### **APPEALS**

Where a member of staff is dissatisfied with the application of the appraisal process (except for decisions on pay) they have recourse to the school's Grievance Procedure to pursue the matter.

Where a member of staff is dissatisfied with a recommendation or decision on pay, they have a right of appeal through the appeals mechanism of the School Pay Policy.

### **CONFIDENTIALITY**

The appraisal process and the reports generated under it will be treated with confidentiality at all times. The appraiser and the principal will have access to the appraisee's plan and review recorded in her/his report. Where a teacher has multiple roles, their additional managers (as agreed at the start of the cycle) will also have access.

Access to the appraisal report of a teacher can be made available to governors where they are being asked to make a decision on pay.

Appraisees will be told if anyone outside of the leadership team (including governors) is granted access to their report.

Governors directly involved in the principal's appraisal and the external adviser will be provided with access to the principal's plan and review recorded in his/her report. Details of the principal's objectives will be reported to the full governing body as soon as practicable after the beginning of the appraisal cycle.

### **TRAINING AND SUPPORT**

The school's CPD programme will be determined by the training and development needs of teachers identified during the appraisal process.

The governing body will ensure in the budget planning that, as far as possible, appropriate resources are made available in the school budget for any training and support agreed for appraisees. It is recognised that priority may have to be given to the needs of a teacher causing concern or who has entered capability proceedings to ensure appropriate support for improvement is provided.

An account of the training and development needs of teachers in general, including the instances where it did not prove possible to provide any agreed CPD, will form a part of the principal's annual report to the governing body about the operation of appraisal 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 CPD identified is essential for an appraisee to meet their objectives; and (b) the extent to which the training and support will help the school to achieve its priorities. The school's priorities will have priority.

Teachers should not be held accountable for failing to make good progress towards meeting their performance criteria where the support recorded in the appraisal report has not been provided to the extent that that support has not been provided.

## **MONITORING**

The governing body will ensure that all teachers, including the principal, have their performance appraised on an annual basis.

The principal will provide the governing body with a written report on the operation of the school's appraisal policy annually. The report will not contain any information which would enable any individual to be identified. The report will include:

- The operation of the appraisal policy.
- The effectiveness of the school's appraisal procedures.
- The delivery of training and development opportunities against previously identified need.

## **EQUALITY ACT 2010**

In accordance with its Public Sector Equality Duty, the governing body of Upton Heath C of E School has given due regard to equality considerations in adopting this policy/procedure and is satisfied that its application will not impact adversely on members of staff who have a protected characteristic (age, disability, gender reassignment, marriage and civil partnership, pregnancy and maternity, race, religion or belief, sex and sexual orientation) within the meaning of the Equality Act 2010

In addition, the governing body is committed to promoting equality and will ensure that the appraisal process is fair and non-discriminatory and that monitoring data should be included in the principal's report covering each of the protected characteristics within the Equality Act 2010.

The principal will also report on whether there have been any appeals or representations on an individual or collective basis on the grounds of alleged discrimination under any of the protected characteristics.

## **REVIEW OF THE POLICY**

The governing body will take account of the principal's report in its review of the appraisal policy. The policy will be revised as required to introduce any changes in regulation and statutory guidance to ensure that it is always up to date.

To ensure teachers are fully conversant with the appraisal arrangements, all new teachers who join the school will be briefed on them as part of their introduction to the school.

## **ACCESS TO DOCUMENTATION**

Copies of school improvement and development plans are published on the school's computer network and/or can be obtained from the school office.

**Prepared by: Paula Conlin**

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**Approved by: Eliza Austin Lea**

Date: October 2019

\*for 'principal' read 'either principal, interim postholder or executive principal'