



# **Rotherham Aspire Teacher Appraisal Policy**

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To be used in conjunction with the relevant guidance documents

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## Introduction

Revised appraisal arrangements come into force with 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). The 2006 Regulations continue to apply to any performance management cycle which is in progress on 1 September 2012, unless the governing body or local authority decides to end that cycle early and to begin a new appraisal period starting on or after that date.

The Appraisal Regulations set out the principles that apply to teachers in all maintained schools and unattached teachers employed by a local authority, in each case where they are employed for one term or more. They retain the key elements of the 2006 Regulations but allow schools more freedom to design arrangements to suit their own individual circumstances. They provide the minimum national framework within which schools should operate and say nothing, or very little, on many subjects on which the 2006 Regulations made detailed provision. If they wish, schools may include in their own policies details that are no longer covered by the Appraisal Regulations.

A revised version of the School Teachers' Pay and Conditions Document (STPCD) comes into force on 1<sup>st</sup> September 2013. The revisions give schools more freedom to differentiate pay progression for teachers based on performance. This places greater importance on the appraisal process and on any recommendations on pay contained with the annual appraisal statement in informing the decisions of the Governing Body on pay progression.

Schools and local authorities must stay within the legal framework set out in the Appraisal Regulations and in other relevant legislation that affects all employers (for example legislation on equality, employment protection and data protection).

Schools and local authorities must have an appraisal policy for teachers and a policy, covering all staff, which deals with lack of capability. This model policy applies only to teachers, including Headteachers, but schools might wish to adapt it for use with all staff. It has been written in the context of schools, but the same principles apply to unattached teachers. It is good practice for schools to consult staff on their appraisal and capability policies. This model policy has been provided as an optional resource for schools and others to which they can refer as they wish as they review and develop their own policies.

The model policy should be used as a reference point by schools and others as they review their policies to reflect the Appraisal Regulations. On 1<sup>st</sup> September 2013 it supersedes our previous appraisal model policy and guidance, which had been designed to support the 2012 Appraisal Regulations and 2012 STPCD.

In the model policy:

**Text in bold** indicates statutory requirements contained in the Appraisal Regulations or the School Staffing Regulations.

*Text in italics* acts as additional advice for schools. *In this model policy text in italics has also been the subject of consultation between the Local Authority and the relevant trades unions and is provided as examples of good practice.*

## **Model policy for appraising teacher performance**

The Governing Body of Rotherham Aspire adopted this policy on

The Governing Body will review it annually.

### **Purpose**

This policy sets out the framework for a clear and consistent assessment of the overall performance of teachers, including the Headteacher, and for supporting their development within the context of the school's plan for improving educational provision and performance, and the standards expected of teachers. There is a clear link between the operation of the appraisal policy and the operation of arrangements for performance related pay specified within the school's pay policy. This policy also sets out the arrangements that will apply when teachers fall below the levels of competence that are expected of them.

### **Application of the policy**

**The policy covers appraisal which 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 (i.e. NQTs) and those who are subject to the capability procedure.**

### **Appraisal**

Appraisal in Rotherham Aspire 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. Governors will have regard to the outcomes of the annual appraisal process in making any decisions on pay progression.

### **The appraisal period**

**The appraisal period will run for twelve months.** The appraisal cycle in Rotherham Aspire will be completed for all teachers by 31<sup>st</sup> October and for Headteachers by 31<sup>st</sup> December.

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.**

Where a teacher ceases employment other than at the end of the appraisal period applying in Rotherham Aspire the appraisal period ends with the last day of such employment. In this situation an appraisal statement will be produced by the school to reflect performance against the relevant standards and progress against objectives.

Where a teacher joins the school prior to the beginning of the appraisal period applying in Rotherham Aspire a shorter or longer appraisal period will be applied with a view to bringing the cycle in line with that of other teachers at the school as soon as possible.

### **Appointing appraisers**

**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.**

In Rotherham Aspire the task of appraising the Headteacher, including the setting of objectives, will be delegated to a sub-group consisting of three members of the Governing Body.

The Headteacher will decide who will appraise other teachers. In Rotherham Aspire where the Headteacher is not the appraiser, the Headteacher will determine which line manager will be best placed to manage and review the teacher's performance. Where the Headteacher decides to delegate the role of appraiser the role is delegated in its entirety, including any recommendation on pay made within the appraisal statement.

## **Setting objectives**

**The Headteacher's objectives will be set by the Governing Body after consultation with the external adviser.**

**Objectives for each teacher will be set before; or as soon as practicable after, the start of each appraisal period.** The objectives set for each teacher, will be Specific, Measurable, Achievable, Realistic and Time-bound and will be appropriate to the teacher's role and level of experience. Consideration will be given to appropriate support and training needed by the teacher to achieve their objectives and where agreed these should be recorded. Consideration will also be given to the necessary monitoring arrangements and these should be recorded. The appraiser and teacher will seek to agree the objectives but, if that is not possible, the appraiser will determine the objectives. Objectives may be revised if circumstances change.

**The objectives set for each teacher will, if achieved, contribute to the school's plans for improving the school's educational provision and performance and improving the education of pupils at that school.** This will be ensured by appropriate moderation as determined by the Headteacher.

**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.** All teachers should 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 need to consider whether certain teachers should also be assessed against other sets of standards published by the Secretary of State that are relevant to them.

## **Reviewing Performance**

### **Observation**

Rotherham Aspire believes that observation of classroom practice and other responsibilities 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 improvement more generally. All observation will be carried out in a supportive fashion. (Specific guidance on the conduct of classroom observations in Rotherham Aspire is contained within the classroom observation protocol which can be found in Appendix 1).

In Rotherham Aspire teachers' performance will be regularly observed and monitored. Formal lesson observation should not exceed 3 hours throughout the year and should be clearly treated as an opportunity for the teacher to demonstrate his or her teaching skills and receive constructive feedback. For Appraisal purposes both the observation objectives and the schedule should be the subject of agreement between the reviewer and teacher concerned and recorded in the Appraisal Planning statement. Formal classroom observation will be carried out by those with QTS during three designated observation windows. Additional observation would only take place at an individual teacher's personal request, discretion or where their needs and circumstances change and where support is needed.

Teachers (including the Headteacher) who have responsibilities outside the classroom should also expect to have their performance of those responsibilities observed and assessed.

### **Development 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. Professional development will be linked to school improvement priorities and to the ongoing professional development needs and priorities of individual teachers.

### **Feedback**

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. Verbal feedback from formal observations for the purposes of Appraisal should be provided as soon as possible following the observation. Written feedback will be provided within 5 working days. Feedback will highlight particular areas of strength as well as any areas that need attention.

Where there are concerns about any aspects of the teacher's performance the appraiser will meet the teacher formally 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;
- agree any support (e.g. coaching, mentoring, structured observations), that will be provided to help address those specific concerns;
- make clear how, and by when, the appraiser will review progress (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);
- explain the implications and process if no – or insufficient – improvement is made.

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**

Reviews will be deemed to be successful unless significant concerns about standards of performance have been raised in writing with the teacher during the annual performance management/appraisal cycle and have not been sufficiently addressed through support provided by the school by the conclusion of that process.

If serious concerns remain regarding a teacher's performance that have not been able to be addressed within the Appraisal process, the teacher will be notified in writing that the appraisal system will no longer apply and that their performance will be managed under the capability procedure, and they will be invited to a Stage 1 capability meeting. Capability issues will be conducted as per the separate policy on capability.

## Annual assessment

**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.**

This assessment is the end point to the annual appraisal process, but performance and development priorities will be reviewed and addressed on a regular basis throughout the year in interim meetings which will take place *mid-year*.

**The teacher will receive as soon as practicable following the end of each appraisal period – and have the opportunity to comment in writing on - a written appraisal report.** In Rotherham Aspire, teachers will receive their written appraisal reports by 31 October (31 December for the Headteacher). **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 the relevant standards;**
- **an assessment of the teacher's training and development needs and identification of any action that should be taken to address them;**
- **a recommendation on pay where that is relevant**

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

## General Principles Underlying This Policy

### Confidentiality

The appraisal process will be treated with confidentiality. However, the desire for confidentiality does not override the need for the Headteacher and governing body to have access to the contents of appraisal statements for the purpose of making decisions on pay, and to quality-assure the operation and effectiveness of the appraisal system.

The following provisions are made in relation to moderation and quality assurance.

In Rotherham Aspire the Headteacher has determined that s/he will:

Delegate the appraiser role for some or all teachers for whom s/he is not the line manager. In these circumstances the Headteacher will:

Moderate all the teachers' objectives and written appraisal report: to ensure that the teacher's objectives and appraisal report comply with the school's appraisal policy and the regulations: and to check consistency of approach and expectation between different appraisers

The Headteacher will also be made aware of any pay recommendations that have been made.

In Rotherham Aspire the Governing Body will:

Nominate up to three governors (state the number) who will not be involved in the Headteacher's appraisal to ensure that the Headteacher's objectives and appraisal report comply with the school's appraisal policy and the regulations.

**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.

**Delegation**

Normal rules apply in respect of the delegation of functions by governing bodies, Headteachers and local authorities.

**Grievances**

Where a member of staff is aggrieved in relation to the application of this policy, they will have recourse to the School’s Grievance Procedure.

**Monitoring and Evaluation**

The governing body and Headteacher will monitor the operation and effectiveness of the school’s appraisal arrangements. To facilitate this, the Headteacher 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.

**Retention**

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

## Appendix I

### 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.

The amount of observation for each teacher should reflect and be proportionate to the needs of the individual.

The arrangements for classroom observation will be included in the plan in the appraisal statement and will include the amount of observation, specify its primary purpose, any particular aspects of the teacher's performance which will be assessed, the duration of the observation, when during the appraisal cycle the observation will take place and who will conduct the observation.

Where evidence emerges about the appraisee's teaching performance which gives rise to concern during the cycle classroom observations may be arranged in addition to those recorded at the beginning of the cycle.

Information gathered during the observation will be used, as appropriate, for a variety of purposes including informing 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 Rotherham Aspire 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 plan, these should also be given as written feedback.

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. Heads and/or those delegated by the Head, have a right to drop in to inform their monitoring of the quality of learning. This does not involve formal observation of teaching but focuses on students' learning.