

APPRAISAL POLICY

A route to a positive future :

Committed to providing a quality education to pupils with complex needs, including autism and sensory impairment in West Berkshire and Greater Reading



Brookfields
Specialist SEN School

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Model Appraisal Procedure for Schools

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Version	Date	Description	Change ID
2.1	Sept 2013	To note explicit relationship to pay policy with effect from September 2013	
2.2	May 2017	Additional wording in sections 9.4 and 10.1 to clarify arrangements for informal support; additional wording in observation protocol on feedback.	

Related Documents

Reference	Title	Tier
HRSC01	Model Capability Procedure for Schools	



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Model Appraisal Procedure for Schools

1. How to use this document

- **Bold black text should not be altered – this reflects statutory requirements**
- Plain text is mainly taken from the model policy issued by the DfE and is recommended good practice.
- *Italic text should be varied as required to suit the particular school circumstances*

2. Purpose

- 2.1. The purpose of this procedure is to set out a framework for the clear and consistent assessment of performance of staff in the school, including the head teacher, and for supporting their development within the context of the school's plan for improving educational provision and performance.
- 2.2. All maintained schools are required to have a procedure which sets out how appraisal for teachers will be managed. This model procedure complies with the principles set out in the model teacher appraisal and capability policy published by the Department for Education. It is recommended to schools for adoption by the governing body.
- 2.3. Appraisal in this school will be a supportive and developmental process designed to ensure that all employees have the skills and support they need to carry out their role effectively, and continue to improve their professional practice.
- 2.4. The school wishes to encourage a culture in which all staff, especially teachers, take responsibility for improving their practice through appropriate professional development.

3. Applicability

- 3.1. **This procedure applies to all employees of the school including the head teacher with the following specific exceptions;**
 - 3.1.1. **Newly Qualified Teachers during the statutory Induction Period**
 - 3.1.2. **Employees employed on fixed-term contracts for less than one term**
 - 3.1.3. **Employees whose performance is being managed under the terms of the Capability Procedure**

4. Roles and Responsibilities

- 4.1. Head teachers/line managers and the governing body are responsible for implementing this procedure, and for monitoring the operation and effectiveness of the school's appraisal arrangements.
- 4.2. Head teachers/line managers are responsible for ensuring staff receive appropriate training and support and receive adequate feedback on performance.

4.3. Where schools 'buy-in' to the a Human Resources service (Inspiration HR), HR staff will provide head teachers/line managers with specialist advice on implementing this procedure.

4.4. Employees are responsible for complying with the requirements of this procedure.

5. The appraisal period

5.1. **The normal annual appraisal period for employees employed for at least a year will run for 12 months**, normally from *September to August* each year. This is with the exception of Teaching Assistants who are appraised from September to June due to staff movement across the school each year.

5.2. **The appraisal period for employees on fixed term contracts of less than one year will normally be the duration of the contract.** They will have their performance managed in accordance with the principles underpinning this policy.

5.3. Employees joining or leaving the school part way through the school year may have a shorter or longer appraisal period.

6. Appointing appraisers

6.1. **The head teacher will be appraised by the governing body, supported by an external adviser who has been appointed by the governing body for this purpose.** The external adviser will be suitably skilled and experienced to carry out this role.

6.2. In this school the task of appraising the head teacher, including the setting of objectives, will be delegated to a group comprising *two/three* members of the governing body. *This group will also be responsible for appointing an external adviser in line with any guidance issued by the Department for Education and the local authority's school improvement service.*

6.3. The head teacher will decide who will appraise other employees in the school. The appraiser will normally be the line manager.

6.4. Appraisers will have a reasonable balance of responsibilities, and will not normally be responsible for appraising more than 6 appraisees. Under some circumstances appraisers may be responsible for appraising more than 6 appraisees. Teachers will only be appraised by appraisers who have Qualified Teacher Status.

7. Setting objectives

7.1. **The head teacher's objectives will be set by the governing body after consultation with the external adviser.**

7.2. **Objectives for each employee will be set before, or as soon as practicable after, the start of each appraisal period.** In practice, this means that objectives for the head teacher will normally be set during *September*, and objectives for other employees will normally be set during *October*. (*Note: In larger schools it may be more practical to set all the senior management team objectives in September*)

7.3. Objectives will be Specific, Measurable, Achievable, Realistic and Time-bound (SMART). They will be appropriate to the job role and to the level of professional experience, where relevant.

7.4. The objectives set 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 the school.

7.5. When setting objectives, the appraiser and appraisee should consider how the objectives link to school improvement priorities, and to the professional development needs of the employee.

7.6. The appraiser and appraisee will seek to agree objectives. If it is not possible to agree some or all of the objectives, the appraiser will determine the objectives. Objectives may be revised in the light of changing circumstances.

7.7. Employees who join the school, or who return from maternity leave, long term sick leave or other leave, part way through the appraisal period, will normally have an objective-setting meeting within *three months* as part of their induction or return to work process. *For employees joining in the summer term, this meeting may be postponed to the start of the next appraisal period, in September.*

8. Assessment against professional standards – teachers only

8.1. Before, or as soon as practicable after, the start of each appraisal period, each teacher will be informed of the professional standards against which the teacher's performance in that appraisal period will be assessed.

8.2. All teachers will be assessed against the set of standards contained in the 'Teachers' Standards'. The head teacher will determine whether certain teachers should also be assessed against other relevant sets of standards.

9. Reviewing performance

9.1. The appraiser will gather information about performance throughout the appraisal period. The type of information gathered and the methods for collecting it will vary according to the job role of the appraisee. For teachers, the evidence to be considered when reviewing performance is set out in the school's pay policy.

9.2. Classroom observation will be used to inform the review of performance for teachers. See appendix 2 for details of the school's protocol on classroom observation.

9.3. Interim meetings will be held *at least once during the annual cycle* to review performance and development priorities, and progress towards the achievement of objectives. Feedback will be provided to highlight areas of strength as well as any areas that need attention.

9.4. Before any move is made to deal with concerns under paragraph 10 below, the appraiser should ensure that reasonable steps have been taken to address the concerns through normal day-to-day management and appraisal processes, and that the individual is aware of them.

10. Dealing with concerns about performance and informal support processes

- 10.1. Where concerns arise during the appraisal period about any aspect of an employee's performance, the appraiser will meet the employee formally to;
- 10.1.1. give clear feedback about the nature and seriousness of the concerns;
 - 10.1.2. give the employee the opportunity to comment and discuss the concerns and the support received so far;
 - 10.1.3. agree any support (e.g. coaching, mentoring, structured observations, additional training) that will be provided to help address those concerns;
 - 10.1.4. make clear how, and by when, the appraiser will review progress (timescales must be reasonable, and appropriate to the nature of the concerns, the job role, and the individual working pattern/times);
 - 10.1.5. explain that if no, or insufficient progress, is made the appraisal process will end and that performance will be managed under the capability procedure.
- 10.2. When progress is reviewed, if the appraiser is satisfied that the employee has made, or is making, sufficient improvement the appraisal process will continue as normal with any remaining issues to be addressed through that process.
- 10.3. If progress is not satisfactory, the employee will be informed in writing that the appraisal system will no longer apply and that their performance will be managed under the capability procedure. They will be invited to a formal capability meeting.

11. Annual assessment

- 11.1. **Each employee's performance will be formally assessed in respect of each appraisal period. When assessing the performance of the head teacher, the governing body will consult the external adviser.**
- 11.2. The annual appraisal meeting will take place at the end of the appraisal period, or as soon as practicable afterwards.
- 11.3. **As soon as practicable after the appraisal meeting the appraisee will receive a written appraisal report** which summarises the discussion at the meeting. **The report will include;**

- 11.3.1. details of the objectives for the appraisal period in question;
- 11.3.2. **an assessment of the employee's performance of their role and responsibilities against their objectives and, for teachers, the relevant professional standards;**
- 11.3.3. **an assessment of the employee's training and development needs and identification of any action that should be taken to address them;**
- 11.3.4. **for teachers only, a recommendation on pay** in accordance with the school's pay policy.
- 11.4. **For teachers, the appraisal report including the pay recommendation** must be received before the end of October, and before the end of December for the head teacher.
- 11.5. The assessment of performance and of training and development needs will inform the planning process for the following appraisal period.
- 11.6. The recommendation on pay will be considered by the head teacher and, submitted for approval to the *remuneration* committee of the governing body, in accordance with the school's pay policy.

12. Confidentiality and retention of records

- 12.1. Appraisal processes will be treated with confidentiality. Information from the process, and appraisal statements and objectives will remain confidential to the appraiser and appraisee, except for the actions in the development plan which will be shared with the person responsible for professional development in the school. The only exception to this will be as set out in 12.2 below.
- 12.2. The head teacher has a responsibility to quality-assure the operation and effectiveness of the appraisal system. *The head teacher (or members of the leadership team, as appropriate), will review written appraisal records to ensure consistency of approach and expectation across the school, and to ensure awareness of any pay recommendations that have been made.*
- 12.3. 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.

Appendix 1 – Table showing the appraisal cycle

Activity	Head teacher	Teachers	Support employees
Annual appraisal meeting to review performance for the previous period, and set objectives and development plans for the next period	<i>September</i>	<i>September</i>	<i>June- Appraisal to review previous period</i> <i>Sept/Oct set objectives and plans for next period</i>
Written record of appraisal meeting provided to appraisee, with opportunity to comment	By end December	By mid September	<i>By end June</i>
Interim meetings to discuss progress and development (to take place during directed time)	<i>Once during year</i>	<i>Once during year</i>	<i>Once during year</i>

Table showing who is responsible for carrying out appraisals

Head teacher	Leadership team	Teachers	Support employees
Two/three governors appointed by the governing body, advised by an external adviser	Head teacher	<i>Head teacher, member of leadership team, or line manager (with QTS)</i>	<i>Line manager</i>

Appendix 2 – Observation protocol

Introduction

This school 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.

Formal classroom observations

In this school, teachers' performance will be regularly observed but the amount and type of classroom observation will depend on the individual circumstances of the teacher and the overall needs of the school. Lesson observations and learning walks will be recorded in BlueSky for developmental purposes, feedback will be given on teaching and learning, strengths, areas for development and a summary statement. This may necessitate additional observations to monitor progress towards development goals agreed, to take place at an agreed date subsequent to the original observations. Observations will inform the performance management process and feedback given in line with school's observation protocol

Classroom observation will only be carried out by those with QTS. Those carrying out classroom observations will have the appropriate skills to undertake observation and to give constructive written and oral feedback.

Appraisal - Normally, no more than three hours of classroom observation will be necessary for the purpose of gathering evidence for the appraisal review. However, in certain circumstances (for example, under paragraph 10 of the Appraisal Procedure) more may be necessary.

Please see Appendix 3.

Other observations

Teachers (including the head teacher) who have responsibilities outside the classroom should also expect to have their performance of those responsibilities observed and assessed. *This may include; leading staff meetings and Inset; carrying out classroom observation and feedback.*

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.

Feedback will highlight particular areas of strength as well as any areas that need to be developed

Teachers should receive oral feedback as soon as possible on classroom observations, and written feedback *within five school days*.

Note:

Drop in observations *and learning walks*

Head teachers and other school leaders have a responsibility to monitor the standards of teaching and behaviour throughout the school. In order to do this they may 'drop in' to classrooms, *or carry out 'learning walks'* in order to evaluate the standards of teaching and to check that high standards of professional performance are established and maintained.

The length and frequency of 'drop in' observations *or 'learning walks'* will vary depending on specific circumstances.

Although drop in observations may not form part of the evidence gathering for the appraisal process, the head teacher/senior manager will take account of any concerns that may be raised and will ensure that these are fed back to the teacher as soon as possible so that any corrective action necessary can be put into place.

Appendix 3 – Observation protocol

CODE OF CONDUCT FOR LESSON OBSERVATIONS

Lesson observation is an integral part of ensuring that the quality of teaching and learning at Brookfields School is of the highest standard possible.

Observers should:

- Recognise and celebrate the achievements of staff and pupils.
- Carry out observations with professionalism, integrity and courtesy, recognising that the process of being observed can be stressful for staff and disruptive to pupils. Observers will introduce themselves if it is thought appropriate.
- Observers should aim not to disrupt the learning process within a session.
- Class records eg long, medium and short term plans, including the context of the lesson, behaviour plans, IEP summaries, engagement profiles etc, should be available in a 'Class File' or observer pointed to where these are available Pen portraits or pupil profile notes could be included.
- Samples of student work should be available where appropriate in order for observers to assess the impact of teaching and learning.
- Observers will seek an appropriate time to talk to learners about the session.
- If an unforeseen event occurs which disrupts the normal flow of the lesson the observation will be suspended. eg fire alarm, extreme challenging behaviour or medical emergencies.
- Observations should be conducted using the Brookfields' Observation record Form with all relevant data completed.
N.B. Observations for NQT's (Newly Qualified Teachers) are carried out using the West Berkshire procedures and observation proformas, outside of the cycle that is in place for other teachers.
- Observers will evaluate the work observed objectively basing judgements on sound evidence.
- Observers will judge whether a Development Plan is required and a lead for the Plan will be identified.
- Observers will report honestly and fairly, within deadlines, ensuring feedback gives clear guidance on both strengths and areas for professional development. Verbal feedback should take place on the same day if possible and always within two working days of the observation. Written feedback should be given to the person observed ideally within five working days, and should take account of the comments made by the person being observed. These can be recorded in BlueSky if appropriate to do so
- **Teachers will receive no more than 3 hours observation during an academic year** unless a Support Plan is required to improve learning and teaching as identified in the observations follow up meetings. In this instance a plan will be provided detailing the support to be received and when further observations will be carried out.

All members of staff involved in the process should demonstrate:

- Courtesy and objectivity in the conduct of all observation activities.
- A respect for confidentiality of any information gained in the course of carrying out observations.

All outcomes of lesson observations will be shared with the relevant Head of Department and the Senior Leadership Team.

Drop in observations and Learning Walks

The Head Teacher and other school leaders have a responsibility to monitor the standards of teaching and behaviour throughout the school. In order to do this they may 'drop in' to classrooms, or carry out 'learning walks' in order to evaluate the standards of teaching and to check that high standards of professional performance are established and maintained.

The length and frequency of 'drop in' observations or 'learning walks' will vary depending on specific circumstances. Learning Walks will be carried out by the SLT, Heads of Key Stage and Heads of Curriculum. Therapists that work in the School may accompany the Learning Walk Team.

Although drop in observations will not normally form part of the evidence gathering for the appraisal process, the head teacher/senior manager will take account of any concerns that may be raised and will ensure that these are fed back to the teacher as soon as possible so that any corrective action necessary can be put into place.

Appendix 4

Appraisal & Continuing Personal Development Series

In support of Performance Management 2019-2020



KEY:
BLACK- Applies to all staff
PURPLE- Applies to Support Staff
BLUE- Applies to Teachers only
RED- Key dates

Signed:
Policy Holder

Date:

Signed:
Headteacher/Governor

Date: