



*"Where children come first"*

## **Appraisal Policy**

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# **APPROVAL & ADOPTION**

This policy was formally agreed and adopted at a Full Governing Body Meeting held on:

24<sup>th</sup> January 2018

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## **UPDATE SCHEDULE**

<b>Version</b>	<b>Date</b>	<b>Reason for Update</b>
1.00	02/10/17	First version for school
2.00	15/01/18	Re-Name/Review/Amendment/Merging of Policies

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# **APPRAISAL POLICY**

## **1. Introduction**

In this school we are committed to continually improve the quality of teaching and learning for all our pupils and we believe that appraisal will assist our staff to achieve this aim through clarity of role and expectations, encouragement, development and feedback.

We believe that appraisal will enable a professional discussion to take place regarding workload and priorities and will give staff the appropriate focus, development and support. It will also provide staff with an opportunity to discuss in confidence any matters regarding their employment at work that may inhibit their performance.

This policy sets out the principles and framework for a clear and consistent appraisal of the overall performance of all staff and for supporting their development needs within the context of the school plan for improvement and their own professional needs.

This policy also sets out the school's approach to the link between the appraisal process and pay progression.

## **2. Principles**

We will implement our appraisal arrangements on the following principles:

- *Equality of Opportunity:* All staff should be encouraged and supported to achieve their potential through clarity of expectations and job role, regular feedback, performance review and provision of relevant development.
- *Consistency of Treatment and Fairness:* We will take action to ensure our performance appraisal process is fair, non-discriminatory and that staff are treated consistently
- *High Standards:* We believe by setting appropriate and challenging standards of performance and providing suitable feedback and development all staff have the potential to continually improve their performance
- *Work – life balance:* All staff are entitled to a satisfactory work – life balance and performance appraisal is an appropriate mechanism to facilitate this
- *Pay and Rewards:* Pay progression for staff should reflect their overall contribution to the school both as individuals and as team members.

## **3. Application of the Policy**

This policy applies to all teaching and teaching support staff employed in this school with the exception of teachers undergoing their formal year of induction or on contracts of less than a year. The operation of this policy will be suspended for any staff whose performance merits the application of the schools' formal competency procedure.

Performance appraisal arrangements for temporary and part-time staff, including job-sharers, should apply on the same principles as for full-time, substantive staff. The same degree of challenge in the process should apply but the breadth and volume of each element in the process should be proportionate to the period of time worked.

Teachers 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.

The intention is that all staff will have equivalent access to appraisal, development and support.

## **4. Policy Framework**

### **a) General**

Performance appraisal is a shared responsibility. The Governing Body has the strategic responsibility for establishing this policy, providing the Headteacher with the support to ensure it is fully implemented and ensuring the Headteacher receives appropriate performance appraisal in order to set the right framework and culture for all staff in the school.

The Headteacher will ensure that this policy, associated regulations and guidance are communicated effectively and that staff with performance appraisal responsibilities have access to appropriate training and preparation.

The performance of all staff must be reviewed on an annual basis. Appraisal planning and reviews must be for all teachers in this school and this will be completed by 31<sup>st</sup> October, in any one academic year and by 31<sup>st</sup> December for the Headteacher.

The appraisal reviews for all support staff will be completed annually by 31<sup>st</sup> March in each year.

Where a member of staff starts their employment at the school part-way through a cycle, the length of the first performance appraisal process will be such that the cycle can be brought into line with the appraisal process for that group of staff at the earliest opportunity.

Where a member of staff transfers to a new post within the school part-way through a cycle, the Headteacher shall determine whether the cycle shall begin again and whether to change the Appraiser.

All staff must have an up-to-date job description and this will form the basis for discussion at the appraisal planning and review meeting. Staff should have access to the school plan for improvement and other relevant planning documents in good time for their appraisal meeting.

Where it appears that the Appraisee is either not meeting or partially meeting the relevant professional standards then the appraisal process must clearly set out the support and training that will be provided to address the areas of concern. This will constitute an informal standards setting process that will precede and, if unsuccessful lead directly into the school's formal capability process.

Where serious weaknesses are identified in an Appraisee's performance then this procedure should cease and the issues will be managed within the school's formal capability procedure. The appraisal process will be re-commenced when the Appraisee's performance has reached the required standards.

## **b) Appointing Appraisers**

The Headteacher will be appraised by the Governing Body, supported by a suitably experienced and qualified External Advisor who has been appointed by the Governing Body for that purpose.

In this school the task of appraising the Headteacher, including the setting of objectives, will be delegated to a sub-group of two members of the Governing Body.

The Headteacher will determine the appropriate Appraiser for all staff covered by this policy taking due consideration of line management responsibilities and other relevant factors.

If a member of staff has a concern regarding their allocated Appraiser then this should be communicated to the Headteacher, in writing, stating the reasons. The Headteacher will exercise careful consideration of the concerns and may allocate an alternative Appraiser.

The Headteacher will ensure all Appraisers receive appropriate training and preparation for their role.

## **c) The Appraisal Meeting**

It is the responsibility of the Appraiser to arrange the meeting with their Appraisee at the beginning of the cycle. This should be arranged by mutual agreement and normally with at least five working days' notice. The Appraiser must prepare for the meeting and ensure all relevant information and evidence that will be used during the meeting has been shared with the Appraisee at the earliest possible opportunity.

The Appraisal meeting should provide a two way discussion to:

- Assess performance during the previous year against the Appraisee's role and responsibilities, including performance objectives and any relevant standards
- Agree expectations for the year ahead by reviewing job description and appropriate performance objectives
- Confirm timescales for achievement of the objectives and for provision of support, including development
- Ensure the Appraisee understands the performance criteria, including relevant pay progression criteria, relevant professional standards and any other appropriate evidence to be taken into account in appraising performance including potential barriers to success
- Discuss and agree appropriate monitoring arrangements and other support for the Appraisee, including classroom observations (see *Appendix 2*), if appropriate to the reviewee's role
- Agree any areas of relevant training and development and related actions
- Allow the reviewee to raise any issues or concerns regarding their workload or work - life balance

It is the appraisee's responsibility to play an active role in their review. This includes preparing for the meeting by:

- reflecting on their performance over the past year including their performance against the relevant professional standards
- considering how they have made a wider contribution to the school, and
- identifying some of their future development needs

Self-review is an important means of preparing for an appraisal meeting and a suggested framework for this is set out in **Appendix 1**.

#### **d) Appraising Performance**

All staff will be formally assessed in respect of each appraisal period. In assessing the performance of the Headteacher, the Governing Body will consult the external adviser.

Each member of staff will receive a written appraisal report as soon as practicable and within ten working days following the appraisal meeting and have the opportunity to comment in writing. The appraisal report will include:

- details of objectives for the appraisal period in question
- an assessment of performance of role and responsibilities against objectives and any relevant standards
- an assessment of training and development needs and identification of any action that should be taken to address them
- a recommendation on pay where this is relevant

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

#### **e) Links with Pay**

Before, or as soon as practicable after the start of each appraisal period all staff will be informed of the standards and criterion against which individual performance in that appraisal will be assessed and on which pay decisions will be based. The criterion used must be consistent with any national or KCC determined requirements.

The determination of pay rises is detailed in the school's pay and rewards policy (2017). All pay recommendations will be made following a thorough review of performance. Pay decisions will be made, in the first instance, by the Senior Leadership Team, based on a review of individual appraisals.

The final decision regarding the pay recommendation remains with the Head Teacher. If a member of staff is not in agreement with the pay determination, they have the right of appeal to the head teacher and then to the Full Governing Body. The details of this process are set out in the pay decision letter which each member of staff receives.

## **f) Objectives**

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

All Appraisees must have performance objectives set before, or as soon as practicable after, the start of each appraisal period.

All appraisals must take place by 31<sup>st</sup> October for teachers, 31<sup>st</sup> December for the headteacher and 31<sup>st</sup> March for Teaching Support staff.

All objectives must be relevant to the Appraisee's role, responsibilities and take full account of their experience and career/professional aspirations. The number and nature of objectives must be reasonable and, if achieved will contribute positively to the education of pupils at this school and the implementation of any plan designed to improve the school's educational provision and performance.

Appraisees should be encouraged to set challenging but achievable objectives. Meeting or nearly meeting challenging objectives is a good way to show the level of performance required for pay progression and will also assist career development.

At least one objective for each staff member will have a research-based focus and staff are encouraged to consider how their research findings can be shared across the school community.

As far as possible the objectives should be reached by agreement. However where a joint determination cannot be made the Appraiser will make the determination with the provision for the appraisee to record any disagreement if required.

## **g) Training and Development**

Performance appraisal is a developmental process and a key part of the planning discussion. It should be about the support that the Appraisee will need in order to meet identified objectives and performance criteria.

This school is committed to ensuring that all staff have access to a level of development appropriate to their role, stage of career development, performance objectives and criteria and individual aspirations.

Development and training identified from the appraisal process must be recorded using the appropriate form and then passed to the School Business Manager for the school to inform the school's programme for training and development. The research-based project should be considered as a training element of the appraisal process, in that a need will be identified to approach an area of school life in a different or innovative way and the research undertaken will enable the staff member to plan, carry out and evaluate this.

The school will provide funding to allow staff to access their research based project. This funding is called a 'learning ticket' and will be a maximum of £100 to cover the cost of reading materials, transport or attendance on a course or conference. Staff will be asked to complete a record of their research-based project in order to evaluate the impact. The recording should be done throughout the project and should consist of evidence about the project as well as reflections from the staff in the form of a 'learning journal'. In the main

part, such recording can be done as part of everyday school-life, but staff may need to spend some time out of lessons to reflect. In recognition of this time, the school will set aside two staff development days to allow staff to complete their folders.

This school recognises that development and support may take a number of forms and a wide range of activities which may not necessarily involve a formal course.

#### **h) Monitoring**

The Appraiser will ensure that appropriate arrangements are in place to support the Appraiser with regular monitoring and feedback. This should be discussed in broad, flexible terms in the appraisal meeting. There should be at least one formal mid year review meeting to discuss performance, provide feedback and discuss the provision of training and development.

The Headteacher should audit mid-year reviews with Appraisers to ensure consistency of appraisal assessments

There should be further, informal follow-up and support for Appraisees.

This school believes that observation of classroom practice and other responsibilities is important both as a way of assessing performance in order to identify any particular strengths and areas for development and of gaining useful information which can inform school improvement more generally. All observation will be carried out in a supportive fashion.

In this school teachers' performance will be regularly observed but the amount and type of observation will depend on the individual circumstances of the teacher and the overall needs of the school. Classroom observation will be carried out by those with QTS. In addition to formal observation, the Headteacher or other members of the SLT with responsibility for Teaching and Learning may "drop in" 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 will vary depending on specific circumstances.

#### **i) Recording Plans**

Within five working days of the meeting the Appraiser will complete a draft appraisal statement and provide the Appraiser with a copy. The Appraiser may request changes if he/she feels the statement does not convey a fair summary of the meeting and/or may add comments. The Appraiser will prepare and sign a final statement within ten working days of the initial meeting.

The Appraiser may retain a copy of the appraisal plan, but he/she must pass a copy to the Appraiser and pass the original to the Headteacher.

The school uses a Research Based Project Recording Form for all teaching and teaching support staff (see **Appendix 3**) and a separate Appraisal Form for Non-Teaching Support Staff (see **Appendix 4**)

## **5. Moderation**

The Headteacher is responsible for ensuring that performance appraisal is applied fairly and consistently across the school and that there is a strong link with school improvement. The Headteacher may therefore make appropriate arrangements for the moderation of performance appraisal reviews and objectives in particular to ensure consistency of approach and expectations between Appraisers. However, this exercise will be undertaken with due regard for the need to maintain confidentiality.

## **6. Changes to Plans in Mid-Cycle**

There may be occasions when it is necessary to amend or change the content of the appraisal plan. This may include changes in the Appraisee's circumstances, school priorities or local/national policy initiatives. In this event the Appraiser and Appraisee should discuss and ideally agree the necessary changes.

If there is no agreement to the proposed changes then the Appraiser shall amend the appraisal plan with any changes he/she thinks ought to be made and pass the revised statement to the Appraisee who may add his/her comments.

## **7. Confidentiality and Retention of Records**

The performance appraisal process will be treated with full confidentiality at all times.

For the Headteacher's review the statement will be held by the Chair of Governors, the Chair of the Review Committee (if not the Chair of Governors) and the Headteacher.

All plans and appraisal reports must be retained in a secure place on the school premises for a period of six years from the date the appraisal cycle ends. After this date it would be normal to dispose of these records and this must be done confidentially and the employee notified.

## **8. Communication of this Policy**

A copy of this policy will be kept in school to ensure that all staff can have access to a copy of it as needed. All new staff joining the school will be briefed on the policy as part of their induction into the school.

## **9. Monitoring and Evaluation**

The Governing Body and the Headteacher will monitor the operation and outcomes of the performance appraisal arrangements.

## 10. Transition to Capability – Teaching Staff

### Lessons that are 'requires improvement'

- You will be provided feedback from the lesson, including areas for development
- There will be a follow up observation the following week to assess whether improvements have been made
- If improvements have not been made, an informal meeting will be arranged where a school action plan will be created. This will include specific targets that are required to be addressed within a given time
- Members of the SLT will continue to monitor teaching and learning within the given timeframe. This may include drop in/planned observations, book scrutiny, pupil conferencing etc.
- If improvements have not been made within the given time, a standard setting meeting will be arranged, which is the initial procedure of formal capability. An action plan will then be agreed

### Lessons that are 'inadequate'

- An informal meeting will be arranged where an action plan will be created. This will include specific targets that are required to be addressed within a given time
- Members of the SLT will continue to monitor teaching and learning within the given timeframe. This may include drop in/planned observations, book scrutiny, pupil conferencing etc.  
If improvements have not been made within the given time, a standard setting meeting will be arranged, which is the initial procedure of formal capability. An action plan will then be agreed

If the appraiser is not satisfied with progress, 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 will be invited to a formal capability meeting. The capability procedures will be conducted as in part B of this policy.

### **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 half way through that period.

**APPENDIX 1: Self Review, Planning and Review Pro- Forma**

Aylesham Primary School Appraisal Planning Form

Name:	Year Group:
Position:	Appraisal date:
Appraiser:	Time:

Part A: Appraisee to complete before the interview and bring to meeting.

Discussion Points

1. Has the past year been good/bad/satisfactory or otherwise for you and why?

2. What do you consider to be the most important achievements this past year?

3. What elements of your job have you found the most difficult?

4. What elements of your job interest you the most, and least?

5. Looking at the required standards, what are the most important aims for the coming year?

6. What action could be taken to improve your performance? ( this must be one of your targets for the appraisal this year)

7. Thinking about the children you work with regularly, what area would you like to improve outcomes for (This must form at least 2 targets for this year)

8. Which section of the School Development Plan does this relate to?

## ***APPENDIX 2: Lesson Observation Protocols and Principles***

### Aylesham Primary School

#### Lesson Observation Protocols and Principles

Lesson observations form an essential part of the process of school improvement. They are a key element in both the appraisal cycle and the school's own self-evaluation. At Aylesham Primary School, the fundamental principle behind the lesson observation protocols is one of support. Lesson observations are carried out in order to identify where support is needed to help a member of staff achieve or exceed the national standards or where members of staff are exceeding the national standards and there are opportunities for them to share their outstanding practice with others.

Aylesham Primary School believes that children are entitled to receive an education that is always good and often outstanding and this is clearly identified in the school's Teaching and Learning Policy, Appraisal Policy, Capability Policy and Pay and Reward Policy. Where teaching and learning is not good, the school has a duty to identify this and take swift and effective action to improve it.

Lesson observations at Aylesham Primary School are both formal and informal and the frequency and format of the observations will reflect the experience, quality of teaching and previous record of each member of staff. Lesson observations will always be used to support improvement and never as a way of harassing or bullying a member of staff. If a member of staff feels that lesson observations are being used in this way, they must bring their concerns to the head teacher.

There are 2 main styles of lesson observations that are used at the school:

1. Formal lesson observations: These, in general, are carried out once each term. The observations will last at least 20 minutes but no longer than 1 hour. Following the observation, teachers will receive verbal and written feedback, although this may not happen immediately after the lesson. A grading, using the school's criteria, will be given for these lessons and this will inform the school's self-evaluation and improvement plan. Feedback from the observation will contain an action plan identifying areas for improvement. Support will be given to staff in achieving the actions. Where an observation identifies teaching that is not good, a review observation will be planned and will form part of the action plan. Formal observations may be carried out by members of the SLT, who may be supported by external advisors, other teachers or members of SLTs from collaboration schools.
2. Drop ins: Drop ins are an essential part of everyday life in school. The head teacher, SLT and middle leaders will drop-in to classes across the school to 'get a taste' of classroom life and to see that activities are occurring. They may also make a focus on a particular aspect of school life that is new, or causing concern or may focus on a particular child. Drop ins will not be graded or formally reported upon, but the information gathered may be used to inform school plans, future lesson observations or procedures for individual children. Where a drop in causes concern for the observer, they will report any concerns to the head teacher. In extreme cases, an observer will follow the school's protocols for child protection or staff conduct.

Any member of staff can request a drop in or formal observation. The school will also endeavour to ensure that every teacher has opportunity to be part of the formal observation cycle, as an observer supported by a member of the SLT.

**APPENDIX 3: Research Based Project Recording Form for Teaching and Teaching Support Staff**

**Research Based Project Recording Form**

SDP Aim /objective	Improving outcomes for the groups I work with (think about how your research project is going to improve outcomes for your group).		
Research title	I am going to research into...  To find out whether...improves through...by...		
Outcomes (What do you want to happen as a result of carrying out your research project?)	What will outcomes for your group look like?  What will be the difference?  Why will it be successful?		
Success Criteria		<b>Agreed Steps</b>	<b>Agreed Evidence</b>
	1	Research – I am going to...	How are you going to record your evidence?
	2	Plan/do – with the findings of my research, I am going to...	How are you going to record your actions?
	3	Evaluate/report – Using my findings, I am going to	How are you going to record your results and communicate your evaluations?
CPD (what CPD is needed?)	Headteacher Moderation  Has the research target been moderated by the headteacher?		
February – Monitoring progress of research			
Sign and date:	Reviewee:	Reviewer:	
SDP	Improving the quality of my delivery of my role in school. (Think about how		

Aim /objective	your research project is going to change and improve the way you teach your group).		
Research title	I am going to conduct research into...  To find out whether...improves through...by...		
Outcomes (What do you want to happen as a result of carrying out your research project?)	What will outcomes for your group look like?  What will be the different?  Why will it be successful?		
Success Criteria		Agreed Steps	Agreed Evidence
	1	Research – I am going to...	How are you going to record your evidence?
	2	Plan/do – with the findings of my research, I am going to...	How are you going to record your actions?
	3	Evaluate/report – Using my findings, I am going to	How are you going to record your results and communicate your evaluations?
CPD (what CPD is needed?)	Headteacher Moderation  Has the research target been moderated by the headteacher? Yes/No		
February – Monitoring progress of research			
Sign and date:	Reviewee:	Reviewer:	
Aim /objective	<b>Personal development – This target may be related to your project</b>		

	<b>(e.g. leading a team/developing a skill/achieving a qualification), but must relate to an area identified in your end of year evaluation.</b>		
SDP area linked with this objective			
Outcomes (How will you judge that this target has been achieved?)	This target will be deemed successful....		
Action steps		Agreed Steps	Agreed Evidence
	1		
	2		
	3		
CPD (what CPD is needed to achieve objective?)	Headteacher Moderation  Has the research target been moderated by the headteacher?		
February – Monitoring progress of research  Sign and date:	Reviewee: _____ Reviewer: _____		
End of cycle monitoring progress of objective  Sign and date:	Reviewee: _____ Reviewer: _____		

# Reflection Sheet 1:

Use this sheet to record your thoughts and actions around your project.

Research

-What did you do?

-What questions or ideas did this generate?

-How did you use the research to inform your next steps?

## Reflection Sheet 2:

Use this sheet to record your thoughts and actions around your project.

### Activities

-What did you do?

-Who did you focus on?

-Were there any barriers to success?

-What were your thoughts about how well your idea worked?

## Reflection Sheet 3:

Use this sheet to record your thoughts and actions around your project.

Evidence gathering and evaluations

- What evidence did you gather to support your evaluation?
- What key points do you think were important?-What do you think the next steps are for

***APPENDIX 4: Appraisal Form for Non-Teaching Support Staff***

See Separate Document.....