



## **Stratford St Mary Primary**

### **APPRAISAL POLICY**

The Personnel Committee of the Governing Body of Stratford St Mary adopted this policy on 2<sup>nd</sup> December 2023

Following consultation with staff and school representatives of recognised unions

## **1. Purpose**

This policy, along with the school's Pay Policy, provides a framework for the clear and consistent assessment of overall performance of all staff employed at Stratford St Mary Primary School. It sets out arrangements for supporting staff development within the school's plan for improving educational provision and performance. Performance management and appraisal are developmental and supportive processes, designed to ensure that all staff have the skills and support they need to carry out their role and that they continue to improve their professional practice throughout their career.

This policy also includes information on the initial support and arrangements that will apply where there are concerns about any aspects of a member of staff's work performance. Further guidance on the standards expected of all staff is included in the school's Pay Policy.

## **2. Application of the policy**

This policy applies to the all staff, with the exception of those:

- On contracts of less than one term
- Undergoing induction (including NQTs) or probationary procedures
- Who are subject to formal capability procedures.

## **3. The appraisal period**

Normally, the appraisal period will run for twelve months from 1September - 31st August. A longer or shorter appraisal period may apply for appointments starting part way through the academic year. Timescales for the completion of annual performance reviews and the award of any pay progression are detailed in the school's Pay Policy.

A mid-year review of performance will normally be conducted around March each year.

Members of staff 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 appraisal period will be determined by the duration of their contract.

## **4. Appointing appraisers**

Appraisers are responsible for setting objectives, reviewing performance (including an annual recommendation on any pay progression) and agreeing arrangements that support continued professional development.

The Headteacher will be appraised by the governing body. In this school, the task of appraising the Headteacher, including the setting of objectives, will be delegated to the headteacher's performance review group. The Headteacher will be responsible for the appraisal of the teaching staff and support staff.

Should a member of staff feel that any person appointed as their appraiser is unsuitable for professional reasons, they may submit a request to the Headteacher (or the Chair of the governing body in the case of the Headteacher) for that appraiser to be replaced, stating the reasons for their request. The school will give reasonable consideration to any such request. Where the school's view is that it is not appropriate (or possible) to change the appointed appraiser, its reasons will be explained in full. Consideration will also be given to other arrangements (for example, additional moderation of reviews or support during review meetings) which aim to ensure fair application of the appraisal process.

## **5. Setting objectives**

Objectives must contribute to the school's plans for improving its educational provision and performance. Appraisers will therefore be expected to align individual objectives with the school's priorities.

Objectives should also:

- Be SMART (Specific, Measurable, Achievable, Realistic and Time-bound)
- Be well defined so that the appraisee and appraiser are clear what success looks like
- Become more challenging as staff progress up their pay range/grade
- Be appropriate to the employee's role and level of experience, also considering their professional aspirations and an appropriate work life balance.

Objectives will include the following:

1. One target, directly linked to pupil progress and attainment, and
2. One target related to the development of teaching and learning/professional practice, typically reflecting feedback from lesson observations, and
3. One target related to personal development, in the context of the school's current school improvement priorities.

Additional objectives may be set, for example, relating to intervention strategies or the percentage of pupils making expected progress.

For staff with roles not directly involved in the delivery of/supporting teaching and learning, some flexibility around points 1 and 2 above will be necessary, to ensure objectives reflect the core purpose of their role. For example, objectives may refer to the individual's broader contribution to teaching and learning or work of the school that supports this. In all cases, objectives should always contribute to the school's improvement priorities and reflective practice.

Objectives will be set, following consultation with the individual, before, or as soon as practicable after, the start of each appraisal period. The appraiser and appraisee will seek to agree on the objectives but, if that is not possible, the appraiser may determine the objectives. However, every reasonable effort should be made to resolve any 'dispute' regarding objectives at an early stage.

Objectives should be set out in the planning statement, along with details of any training and support which have been agreed. The planning statement should also indicate the measures that will be considered when reviewing performance, including arrangements for lesson or task observation where appropriate.

Objectives may be revised if circumstances change.

## **6. Relevant professional standards**

The school's Pay Policy sets out the professional standards and wider expectations against which, where relevant, the employee will be assessed and which will contribute to an overall assessment of performance at the end of the appraisal period. Appraisers should ensure that all employees are clear about the standards and expectations against which they will be assessed as soon as practicable after the start of each appraisal period.

Reflective practice is an essential part of continuous professional development for all staff, and self-evaluation is encouraged in all roles. Teaching staff should consider their development in relation to the Teachers' Standards and may find it helpful to complete a self-evaluation against the Teachers' Standards (see Appendix 2) in anticipation of their annual review. Support staff may refer to professional standards or competency frameworks relevant to their roles, for example, including the:

School business management competency framework:

<https://isbl.org.uk/career-development/sbm-competency-framework.aspx>

Professional standards for teaching assistants:

<http://maximisingtas.co.uk/assets/content/ta-standards-final-june2016-1.pdf>

Teachers' standards

<https://www.gov.uk/government/publications/teachers-standards>

## **7. Observation**

The school believes that observation of classroom practice and other responsibilities is important both as a way of assessing staff's performance in order to identify any particular strengths and areas for development they may have and of gaining useful information which will lead to the improvement in the quality of teaching and attainment of pupils.

Performance will be regularly observed. All observations will be carried out in a supportive fashion. The amount and type of observation will depend on the individual circumstances of the member of staff and the overall needs of the school. However, within the appraisal process, formal observation will not normally exceed three hours.

Classroom observations will be carried out by those with QTS, following the Classroom Observation Protocol in Appendix 1.

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

## **8. Other sources of information**

The appraisal process should enable staff to demonstrate their overall performance and evidence from a range of sources may inform the assessment of performance set out in paragraph 11 of this policy and the school's Pay Policy.

In addition, the Headteacher or others with responsibility for standards may conduct other observations, learning walks or "drop in" observations in order to evaluate the standards of teaching and learning and to check that high standards of professional performance are established and maintained. The length and frequency of such observations, learning walks or "drop in" sessions will vary depending on specific circumstances.

When assessing overall performance, depending on the nature and scope of the role, objectives, development needs and any relevant professional standards, evidence may include:

- [Detail as appropriate: Feedback from formal lesson or task observations.
- Professional conversations following learning walks or “drop in” sessions. For staff with roles not directly involved in the delivery of/supporting teaching and learning, this might include professional conversations regarding interactions with colleagues, pupils, parents and members of the school community and/or informal feedback on tasks undertaken
- Reviews of assessment results
- Reviews of schemes of work and/or lesson planning records
- Reviews of children’s work
- School reviews and Departmental reviews or reviews of extra-curriculum provision
- Internal tracking of pupil progress or other progress and outcome data
- Moderation within and across schools
- Pupils’ voice
- Parents’ voice
- Continuous Professional Development (CPD) records]

## **9. Development and support**

Appraisal is a supportive process which will be used to inform continuing professional development. The school expects all members of staff to take responsibility for improving their teaching and other work through appropriate professional development. Professional development will be linked to school improvement priorities and the ongoing professional development needs/priorities of individual members of staff. In the case of competing demands on the school’s budget for CPD, a decision on relative priority will be made taking into account the extent to which the CPD identified:

1. Is essential for the member of staff to meet their objectives, and
2. Will help the school to achieve its priorities.

Should a member of staff receive significant investment in their professional development (£1000- £5000 per year including supply cover) and then decide to leave the school, the Governing Body may require repayment of the funding on the following scale:

- Employee leaves within 6 months of completing CPD – full repayment
- Employee leaves within 1 year of completing CPD – 50% repayment

If the investment in professional development has been in excess of £5000 (including supply cover) and the member of staff then decides to leave the school, the Governing Body may require repayment of the funding on the following scale:

- Member of staff leaves within 12 months of completing CPD – full repayment
- Member of staff leaves within 2 years of completing CPD – 50% repayment

In all cases, the member of staff may choose to arrange for the repayment from their new school (if applicable).

## **10. Reviewing performance**

At the end of the appraisal period, an assessment of overall performance and a recommendation on pay progression will be made by the appraiser against the criteria detailed in the school's Pay Policy. 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. As indicated above, a mid-year review of performance will normally be conducted around [Month] each year.

[Optional: Detail any information staff are encouraged to gather in preparation for reviews, whilst being mindful of the need to avoid unnecessary workload and bureaucracy in the appraisal process.]

## **11. The appraisal report:**

Each member of staff will receive a written appraisal report as soon as practicable following the end of each appraisal period and will have the opportunity to comment on it, in writing. The appraisal report will include:

- Details of the individual's objectives and whether or not they were met
- An assessment of the individual's overall performance, in particular, [detail according to Pay Policy, eg, against the requirements of their job description/role, their objectives, progress in relation to agreed CPD, all relevant professional standards/expectations and, where relevant, teaching practice]
- An assessment of the individual's training and development needs and identification of any action that should be taken to address them. (This should inform the planning process for the following appraisal period)
- A recommendation on any pay progression.

Arrangements for the consideration of pay recommendations and any appeal (including informal and formal stages) are described in the school's Pay Policy.

## **12. Feedback and dealing with any concerns about performance**

All staff will receive constructive feedback on their performance throughout the year and as soon as practical after any observation has taken place or any other evidence has come to light. Feedback will highlight areas of strength as well as next steps.

Where there are concerns about any aspects of the member of staff's work performance the appraiser or Headteacher will meet with the individual to:

- Give clear feedback to the member of staff about the nature and seriousness of the concerns
- Give the individual the opportunity to comment on 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 when the appraiser will review progress. (It may be appropriate to revise objectives and it will be necessary to allow reasonable period for improvement.)
- Make clear the school will expect significant improvement at the end of the review period and explain the implications and process if no, or insufficient, improvement is made.
- Make clear that any improvement must be sustained.

When progress is reviewed, if the appraiser/Headteacher is satisfied that the member of staff 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.

## **13. Transition to capability**

If the appraiser/Headteacher is not satisfied with progress within the time specified, the individual will be notified in writing that the appraisal system will no longer apply and that their performance will be managed under the school's capability procedure. They will be invited to a formal capability meeting and procedures will be conducted as described in school's Capability Policy.



## **General principles underlying the Appraisal 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 quality-assure the operation and effectiveness of the appraisal procedures/pay decisions and share necessary information with those involved in their administration.

### **Consistency of treatment and fairness**

The governing body is committed to ensuring consistency of treatment and fairness. The school's commitments in its Pay Policy to acting in accordance with the principles of public life (objectivity, openness and accountability) apply equally to its arrangements for appraisal. The school will abide by all relevant equality legislation, including, as amended:

- Employment Relations Act 1999
- Equality Act 2010
- Employment Rights Act 1996
- The Part-time Workers (Prevention of Less Favourable Treatment) Regulations 2000
- The Fixed-term Employees (Prevention of Less Favourable Treatment) Regulations 2002
- The Agency Workers Regulations 2010.

The governing body will promote equality in all aspects of school life, particularly as regards all decisions on advertising of posts, appointing, promoting and paying staff, training and staff development.

### **Definitions**

Unless indicated otherwise, all references to "teacher" include the Headteacher.

### **Monitoring and Evaluation**

The governing body and Headteacher will monitor the operation and effectiveness of the school's appraisal arrangements. The Headteacher will provide the Governing Body with a written report on the operation of the school's appraisal policy, annually, including information on training and development needs and whether there have been any appeals or representations regarding appraisal procedures. 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 1 – CLASSROOM OBSERVATION PROTOCOL

The Governing Body is committed to ensuring that classroom observation is developmental and supportive and that those involved in the process:

- Carry out the role with professionalism, integrity and courtesy
- Evaluate objectively, acknowledging any particular circumstances which may affect performance on the day
- Report accurately and fairly
- Respect the confidentiality of the information gained.

The amount and type of classroom observation will depend on the individual circumstances of the member of staff and the overall needs of the school. In keeping with the commitment to supportive and developmental classroom observation those being observed will be notified not less than [X] working days in advance.

Wherever practicable, the arrangements for classroom observation will be included in the appraisal plan and/or report. As appropriate, this will include the amount/duration of observation, its primary purpose, when during the appraisal cycle the observation will take place and who will conduct the observation. Although classroom observation will be undertaken in line with this plan, other information gathered during the observation will be used, as appropriate, for a variety of purposes including informing the school's self-evaluation and school improvement strategies. This is consistent with the school's commitment to streamlining data collection and minimising bureaucracy and workload burdens on staff.

Where concerns about performance arise during the appraisal period it may be necessary to agree classroom observations in addition to or that vary those recorded at the beginning of the appraisal period. In these circumstances, the appraisal plan will be updated.

Classroom observations will only be undertaken by those with QTS. In addition, classroom observation will only be undertaken by those who have been trained in classroom observation and in the provision of constructive and supportive feedback in the context of professional dialogue between colleagues. The Headteacher will seek to discharge their responsibility for monitoring the quality of teaching and learning primarily through the planned classroom observations. Observers will therefore be required to make a judgement about the quality of teaching and learning based upon advice in the school's [Teaching and Learning Policy] [School may append any lesson observation framework it uses.]

Verbal feedback will be given as soon as possible after the observation and normally within one working day of the observation taking place. 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 emerge from an observation that were not part of the focus of the observation as recorded in the appraisal plan these should also be covered in the written feedback and the appropriate action taken. No written notes in addition to the written feedback will be kept. The teacher may append written comments on the feedback document.