



Appraisal and Capability Policy

Based on guidance contained within the DFE Model Policy. In the development of this policy consideration has been given to the impact on protected characteristics under the Equality Act and the work life balance of employees.

*The Governing Body of Winton Primary School adopted this policy on 17/10/12.
It was reviewed by the Governing Body on 1/12/15*

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Policy for Appraising Performance for Teaching Staff and Dealing with Capability Issues for All School Staff

The appraisal policy applies to all teachers and the head teacher and the capability procedure applies to *all staff* employed at the school as defined in paragraph 1 below.

1. Definitions

- 1.1 The term "Head teacher" also refers, where appropriate, to any other title used to identify the Head teacher.
- 1.2 The term "employee" refers to any member of the school staff employed to work solely at the school.
- 1.3 The term "senior manager" refers to any member of the Leadership Group, as defined by the School Teachers' Pay and Conditions Document, or a senior support employee in cases involving support staff, delegated by the Head teacher to deal with an appraisal and/or capability matter under these procedures. A senior manager may only make a decision to issue a sanction up to and including a final written warning.
- 1.4 If the Head teacher, following consultation with the Chair of Governors, considers that there is no senior manager to whom s/he can reasonably delegate a specific capability matter then the Head teacher will take the role of the senior manager for that specific case and the role of the "Head teacher" under this procedure will be performed by a "Disciplinary Committee" of the Governing Body consisting of not less than 3 governors, (except in circumstances provided for in the Secretary of State's guidance on the Staffing Regulations), none of whom will have had previous involvement in the case.
- 1.5 The role of the Head teacher will be taken by appropriate governors as indicated where the appraisal and or capability being reviewed is that of the Head teacher.
- 1.6 "Lack of capability" is defined as a situation in which an employee fails consistently to perform his/her duties to a wholly satisfactory standard of performance over a period of time.

2. Purpose

- 2.1 This policy sets out the framework for a clear and consistent assessment of the overall performance of employees covered by the appraisal policy and for supporting their development within the context of the school's plan for improving educational provision and performance, and the standards expected of employees in their respective roles. It also sets out the arrangements that will apply when employees fall below the levels of competence that are expected of them.
- 2.2 This policy does not form part of any employee's contract of employment and it may be amended at any time following consultation. We may also vary any parts of this procedure, including any time limits, as appropriate in any case.
- 2.3 As part of the overall implementation of the policy, the school will have consideration for workload impact.

3. Application of the policy

The policy is in two separate sections.

Part A: Appraisal

Part B: Capability

Part A of the policy, which covers appraisal, applies to the headteacher and to all teachers employed by the school, except those on contracts of less than one term, those teachers undergoing induction (*ie NQTs*), and those have been transferred to Part B of the policy.

Part B of the policy, which sets out the formal capability procedure, applies to all employees of the school (including the headteacher). Concerns about the employee's performance will have been identified by the appraisal process and which it has been unable to address.

Support staff are currently included in the appraisal process outline in the separate policy: 'Performance Management for Support Staff'. Any serious concerns identified about a support employee's performance will be dealt with by an informal stage (normally of 4 weeks) in order to give the employee the opportunity to address areas of concern and to meet targets which will have been set (and be given support) before the matter enters the formal capability procedure in Part B.

Part A: Teacher Appraisal

The appraisal policy in this school will be a supportive and developmental process designed to ensure that all employees identified by the policy have the skills and support they need to carry out their role effectively. It will help to ensure that all employees are able to continue to improve their professional/employment practice and to develop in their respective roles.

1. The appraisal period

- 1.1 The appraisal period will run for twelve months from Autumn Term (1) to *Autumn Term (1)* – with the specific date being agreed annually, but typically this will be 31st October.

The use of teacher standards should inform and be given full 'due regard' within the review and objective setting process.

- 1.2 Employees 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 review period will be determined by the duration of their contract.

- 1.3 Employees will not normally be dismissed for performance reasons without previous warnings. However, in serious cases of gross negligence, or in any case involving an employee who has not yet completed their probationary period, dismissal without previous warnings may be appropriate.

There is some flexibility to have a longer or shorter appraisal period when teachers begin or end employment with a school or local authority or when unattached teachers change post within the same authority.

2. Appointing appraisers

- 2.1 The head teacher 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.

- 2.2 The task of appraising the head teacher, including the setting of objectives, will be delegated to a sub-group consisting of two or three members of the Governing Body.

- 2.3 Where the headteacher is of the opinion that any of the governors appointed by the governing body under this regulation is unsuitable for professional reasons, s/he may submit a written request to the governing body, via the Chair of Governors, for that governor to be replaced, stating those reasons.

- 2.4 The head teacher will decide who will appraise other employees covered by the policy. This will be notified to staff annually. In this school, this will normally be:

- The headteacher
- A member of the senior leadership team (Deputy Head, Assistant Head, Phase Leader, School Business Manager)
- The teacher with a clear line management overview of a teacher's work
- A teacher(s) specifically identified to undertake appraisal of other teachers in the school (normally this will be a teacher with management responsibility).

3. Setting objectives

- 3.1 The head teacher's objectives will be set by the Governing Body after consultation with the external adviser.

- 3.2 Objectives for each employee covered by the policy will be set before, or as soon as practicable after, the start of each appraisal period. The objectives set will be Specific, Measurable, Achievable, Realistic and Time-bound and will be appropriate to the employee's role and level of experience. The appraiser and employee 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.

- 3.3 The objectives set for each employee will, if achieved, contribute to the school's plans for improving the school's educational provision and performance and improving the educational opportunities and outcomes of pupils at that school. This will be ensured by:

- *Ensuring pupil progress and learning objectives represent 'good' or 'outstanding' teaching and progress for pupils and are appropriate to the needs of the class.*
- *Ensuring that any objectives related to professional practice address key priorities which are: i. Linked to key areas within the national teacher standards; and ii. Linked to school improvement priorities and initiatives.*
- *Ensuring that any objectives related to leadership and management (all teachers with paid leadership responsibilities) addresses the key development priorities identified by consideration of the teacher's effectiveness – with reference to any relevant leadership standards – in addressing the key school improvement plan priorities.*

3.4 In this school teachers, including the headteacher, will typically have 3 or 4 key objectives, though this will not necessarily always be the case. The number of objectives will depend on the experience of the member of staff and the performance management expectations of their position and level of responsibility.

See Appendix B for overview of the performance management and objective setting process for reviewees.

4. Overall Performance of Teachers

4.1 Before, or as soon as practicable after, the start of each appraisal period, a teacher will be informed of the standards against which that teacher's performance in that appraisal period will be assessed. *Any assessment of teacher performance should give due regard to the teacher standards, though the starting point of any appraisal is that the standards are already being met to at least an expected level (see Appendix C)*

5. Reviewing performance

5.1 Observation

5.1.1 This school believes that observation of classroom practice and other responsibilities for teachers, and support staff who support teachers in the classroom, is important both as a way of assessing 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.

5.1.2 All observation will be carried out in a supportive fashion. In accordance with an observation protocol determined by the Head teacher following consultation with the staff to whom it applies.

The observation protocol is at Appendix A

5.1.3 Teachers' performance will be regularly observed but the amount and type of classroom observation will depend on the individual circumstances of the employee and the overall needs of the school.

5.1.4 Classroom observation of teachers will be carried out only by those with QTS. Typically this will only be senior leaders or middle leaders who are appropriately experienced to take on this responsibility.

5.1.5 Employees who have responsibilities outside the classroom should also expect to have their performance of those responsibilities observed and assessed.

5.2 Support staff

5.2.1 Support staff appraisal will focus on the job description of the employee and the expected standards of performance will be made clear by the appraiser. The process for this is outlined in the performance management policy for support staff.

6. Drop Ins

6.1 In addition to formal observation, the head teacher or other leaders with responsibility for teaching standards 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. Drop-ins will not be used to make 'graded judgments' of teaching, though

due regard should be given to such evidence in and discussion of that teachers professional effectiveness.

6.2 All "drop ins" will be carried out in accordance with a protocol determined by the Head teacher following consultation with the staff.

7. Development and support

7.1 Appraisal is a supportive process which will be used to inform continuing professional development. The school wishes to encourage a culture in which all employees take responsibility for improving their performance through appropriate development.

7.2 Teachers professional development will be linked to school improvement priorities and to the ongoing professional development needs and priorities of individual teachers.

8. Feedback

8.1 Employees will receive constructive feedback on their performance throughout the year and as soon as practicable after an 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 attention, and will determine any appropriate action which may be required.

8.2 Where there are concerns about any aspects of the employee's performance the appraiser or appropriate senior member of staff will meet with the employee to ensure appropriate support and monitoring. They should:

- give clear feedback about the areas of concern;
- give the employee the opportunity to comment and discuss the concerns and establish the likely causes of poor performance and identify any training needs/support needed (e.g coaching, monitoring, structured observation) ;
- clarify the required standards and 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, and any additional lesson observations and monitoring activities which may be required.
- Where appropriate to revise or set additional appraisal objectives, which may be above the school norm, and agree timescales for improvement.
- The amount of time will reflect the seriousness of the concerns; explain the implications and process if no, or insufficient, improvement is made.

8.3 When progress is reviewed, a decision will be made on whether:

- To end the support programme and resume normal appraisal arrangements.
- To continue to provide support within appraisal by setting further short-term objectives.
- To suspend appraisal and move immediately into the formal capability procedures.

8.4 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 continuing to be addressed through that process.

8.5 The appraiser will keep a note of any concerns, the support given and the review judgement. A copy of this note will be given to the employee. If required, this will inform any decision on transition to the capability procedure.

9. Transition to capability

9.1 If the appraiser, is not satisfied with progress, the employee will be notified in writing that the appraisal system will no longer apply and that his/her performance will be managed under the capability procedure. The employee will be invited to a formal capability meeting. The capability procedures will be conducted as in part B of this policy.

10. Annual assessment

10.1 The performance of each employee covered by the appraisal policy will be formally assessed in respect of each appraisal period.

- 10.2 In assessing the performance of the head teacher, the Governing Body must consult the external adviser.
- 10.3 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, including interim meetings with the appointed appraiser.
- 10.4 The assessment will take place through various means, including:
- Classroom observations
 - Pupil Achievement Data
 - Planning and Work scrutiny
 - Observation / scrutiny of other professional activities, including leadership and management activities where appropriate.
 - Other observations and feedback obtained during the cycle that is relevant to the teacher's overall performance.
- 10.5 The employee 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.
- 10.6 Teachers will usually receive their written appraisal reports by 31 October (31 December for the head teacher).
- 10.7 The appraisal report will include:
- details of the employee's objectives for the appraisal period in question;
 - an assessment of the employee's performance of their role and responsibilities against their objectives and, for teachers, against the relevant standards;
 - an assessment of the employee's training and development needs and identification of any action that should be taken to address them. The assessment of performance and of training and development needs will inform the planning process for the following appraisal period.
 - a recommendation on pay where that is relevant. Any recommendation on pay will be referred to the Headteacher before being referred to the Governing Body Resources/Pay Committee.

11. Confidentiality

- 11.1 Access to the written appraisal report will normally be limited to the appraisee, the appraiser, the head teacher and / or nominated member of the senior management team.

12. Equality and consistency

- 12.1 As outlined in paragraph 3.4.6 above, the head teacher will have overall responsibility for the quality assurance of the appraisal process across the school. This will include ensuring the consistency and equality of application of the process throughout the school. The head teacher may delegate responsibility for monitoring consistency and equality of application to a teacher member of the senior management team.
- 12.2 The head teacher will be responsible for reporting annually to the Governing Body on any relevant issues, including those of underperformance, arising from the annual review cycle and on any action required to address those issues. The report will enable governors to receive an overall general report of the process but will not include specific details relating to individual members of staff.
- 12.3 The Governing Body is committed to ensuring consistency of treatment and fairness and will abide by all relevant equality legislation.

13. Retention of statements

- 13.1 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.

Part B - Capability Procedure

1. Formal Capability Meeting

- 1.1 This procedure applies only to employees about whose performance there are serious concerns that the appraisal process has been unable to address. If under Part A above an employee's performance, who is covered by Part A, is not wholly satisfactory, the senior manager, or other person with line management responsibility for the employee, will invite the employee to a formal capability meeting to discuss with the employee the identified poor performance as specifically as possible.
- 1.2 The senior manager will write to the employee at least 5 working days in advance to inform him/her about:
- a) the date, time and place of the meeting.
 - b) the basic details of the concerns about the employee's performance
 - c) the employee's right to be accompanied by a representative of his/her trade union or a workplace colleague of his/her choice
 - d) the titles of enclosed copies of any documents to be used at the meeting.
 - e) names of any witnesses to be called
 - f) his/her right to call witnesses on his/her behalf.
 - g) The name and office of any adviser who will accompany the senior manager at the meeting.

An extra copy, together with any enclosures, will be provided for his/her companion.

- 1.3 This meeting is intended to establish the facts. It will be conducted by a senior manager delegated by the head teacher (or the Chair of Governors for head teacher). The meeting will allow the employee to respond to concerns about his/her performance and to make any relevant representations. This may provide new information or a different context to the information/evidence already collected.
- 1.4 The senior manager may conclude that there are insufficient grounds for pursuing the capability issue and that it would be more appropriate to continue to address the remaining concerns through the appraisal process. In such cases, the capability procedure will come to an end.
- 1.5 The senior manager may also adjourn the meeting if it is decided that further investigation is needed, or that more time is needed in which to consider any additional information. In other cases, the meeting will continue.
- 1.6 During the meeting, or any other meeting which could lead to a formal warning being issued, the senior manager will:
- In the case of a teacher, identify the poor performance, including which of the standards expected of the teacher is not being met;
 - Ensure the employee is given an opportunity to ask questions, present evidence, call witnesses, respond to evidence and make representations;
 - Establish the likely causes of poor performance including any reasons why any measures taken so far have not led to the required improvement;
 - give clear guidance on the improved standard of performance needed to ensure that the employee can be removed from formal capability procedures which may include the setting of new objectives focused on the specific area/s of poor performance that need to be addressed. It will include any success criteria that are appropriate and the evidence that will be used to assess whether or not the necessary improvement has been made;
 - identify whether there are further measures which may improve performance and explain any support that will be considered and planned to help the employee, e.g. in-service training, visits to other schools, discussion with appropriate colleagues or professionals;

- set out the timetable for improvement and explain how performance will be monitored and reviewed.
- the timetable will depend on the circumstances of the individual case but will be reasonable and proportionate, between four and ten weeks in normal circumstances, and will provide sufficient opportunity for improvement to take place. The length of time required will depend on the concerns raised with the employee, the nature of any support and training required, and sufficient time to establish whether performance has improved; and
- warn the employee formally that failure to improve within the set period could lead to a final written warning which could then lead to his/her dismissal.
- informed the employee of the right of appeal
- agree with the employee and any companion the date of the formal review meeting

1.7 Notes will be taken of formal meetings and a copy sent to the employee and any companion. Where a first warning is issued, the employee will be informed in writing of the matters discussed in 1.6 above. S/he will also be informed in writing that failure to achieve an acceptable standard of performance (within the set timescale), may result in a final written warning which could then lead to dismissal if wholly satisfactory performance is not achieved, together with the time limit for appealing against the first written warning.

1.8 If the concerns relate to a lack of capability that poses a risk to the health, safety or well-being of children, or is likely to result in serious damage to pupils' education, the shorter timescale may be appropriate. In such cases, the senior manager may exceptionally decide to issue a first and final written warning. If to do otherwise would expose students to serious risk in terms of their health, safety, well-being or educational prospects.

2. Sickness absence and the use of this procedure

2.1 It is important that sickness absence should not delay or avoid the use of formal capability procedures. It is in the interests of all parties to address concerns about performance without undue delay.. Arrangements will normally be made to seek medical advice from an occupational health adviser to assess the employee's health and fitness for continued employment at the school.

2.2 Consideration will be given to whether poor performance may be related to a disability and, if so, whether there are reasonable adjustments that could be made to the employee's working arrangements, including changing the employees duties or providing additional equipment or training. We may also consider making adjustments to this procedure in appropriate cases e.g moving from this procedure to procedures used by the school to terminate the employment of the employee on the grounds of ill health.

2.3 If an employee's medical condition is not serious enough to warrant a consideration of termination of employment on the grounds of ill health, the occupational health adviser will normally be asked to assess whether an employee absent through sickness is fit enough to attend a meeting under this procedure. In the event that the employee is deemed not fit to attend a formal capability meeting s/he may present a written submission for consideration and/or be represented by a companion in her/his absence.

3. Monitoring and review period following a formal capability meeting

3.1 A performance monitoring and review period will follow the formal capability meeting. Formal monitoring, evaluation, guidance and support will continue during this period. Following this monitoring and review period, the employee will be invited to a formal review meeting (see paragraph 4 below), unless s/he had been issued with a final written warning, in which case s/he will be invited to a decision meeting (see paragraph 6 below).

4. Formal review meeting

4.1 At least 5 working days before the date for the formal review meeting a written reminder will be given to the employee together with details of the meeting as set out in paragraph 1.2 above.

4.2 The formal review meeting will follow a similar procedure to that identified for the formal capability meeting as set out in paragraph 1.6 above.

- 4.3 If the senior manager (Chair of Governors for the Head teacher) is satisfied that the employee has made sufficient improvement, the formal capability procedure will cease and the appraisal process will re-start where the employee is subject to Part A above.
- 4.4 In cases:
- where some progress has been made and there is confidence that more is likely, it may be appropriate to extend the monitoring and review period;
 - where no, or insufficient improvement has been made during the monitoring and review period, the employee will receive a final written warning.
- 4.5 Notes will be taken at the formal review meeting and a copy will be sent to the employee and any companion.
- 4.6 Where a final warning is issued, the employee will be informed in writing that failure to achieve an acceptable standard of performance (within the set timescale), may result in dismissal and will be given information about the further monitoring and review period and the procedure and time limits for appealing against the final written warning. Following the final monitoring and review period there will be a final decision meeting. The date of the final decision meeting will be agreed with the employee.
- 4.7 At this stage, rather than refer the matter to a decision meeting, consideration could be given to the employee being given a different range of duties or an alternative post should this be deemed practicable, within the capacity of the school, and still serve the interests of school improvement. By agreement, this may include transfer to a post suited to the employee's capabilities. If this post is at a lower salary level, the substantive lower salary would apply.
5. Right of Appeal against a formal written warning
- 5.1 If an employee feels that a decision to issue a first and/or final written warning, is wrong or unjust, s/he may appeal in writing against the decision
- 5.2 Appeals against a written warning shall be restricted to considering the reasonableness of the decision made by the senior manager, any relevant new evidence not previously available to the senior manager or any procedural irregularities. A statement giving the reasons for the appeal should be submitted to the Clerk to the Governors within 5 working days of the formal written warning having been received.
- 5.3 All appeal hearings will be held as soon as possible after receipt of the appeal at an agreed time and place.
- 5.4 The appeal will be heard by the Appeals Panel of Governors. The number of governors on the Appeals Panel of Governors will not be less than two. The panel may be advised by a person engaged for the purpose by the Governing Body. The panel can either confirm the warning, reduce a final warning to a warning, or cancel the warning. The employee will be informed in writing of the results of the appeal hearing as soon as possible.
- 5.5 The same arrangements for notification and the right to be accompanied by a companion will apply for an appeal hearing as for the formal capability and review meetings and, as with those meetings, notes will be taken and a copy sent to the employee and any companion.
- 5.6 Pending any appeal the employee will be expected to continue to work in accordance with targets set for the next stage of the procedure and his/her progress towards the achievement of these targets may be monitored during this period.
6. Decision meeting
- 6.1 At least 5 working days before the date of the decision meeting a reminder will be given in writing together with details of the meeting as in paragraph 1.2 above. The meeting will be conducted by the Head teacher (Governor Panel for the Head teacher).
- 6.2 If an acceptable standard of performance has been achieved during the further monitoring and review period, the capability procedure will end and the appraisal process will re-start where the employee is subject to Part A above.
- 6.3 If progress has been made and there is confidence that wholly satisfactory performance will be achieved by a short extension, it may be appropriate to extend the monitoring and

review period rather than to dismiss. The final written warning will be extended for a short specified assessment period.

6.4 If performance has remained unsatisfactory, a decision will be made that the employee will be dismissed. The employee will be informed in writing as soon as possible of the reasons for the dismissal, the date on which the employment contract will end, the appropriate period of notice and whether the notice is to be served or there will be pay in lieu of notice, and the right of appeal.

7. Right of Appeal against a decision to dismiss

7.1 The employee has a right of appeal to the Appeals Committee of the Governing Body against a decision to dismiss.

7.2 The Appeals Committee shall consist of at least 3 governors, none of whom will have had any previous involvement in the case.

7.3 The employee's notice of appeal should be sent to the Clerk to the Governors within 5 working days of receipt of the written decision to dismiss, setting out the grounds of appeal.

7.4 Appeal hearings should be held as soon as possible after receipt of the appeal and will be conducted in the same way as appeals referred to in paragraph 5 above.

8. Notice of Dismissal

[Clauses referencing the Local Authority apply only to community and controlled schools]

8.1 Following a decision to dismiss, the Headteacher/Governing Body will notify the local authority and the employee in writing that the employee is to be dismissed, whether with notice or with pay in lieu of notice in accordance with the decision of the Head teacher (or Disciplinary Committee). [The Local Authority must give written notice to the employee within 14 days of notification by the Governing Body.]

8.2 In the event that the Appeal Committee of the Governors decides not to uphold the decision to dismiss, the Local Authority/the employee shall be informed immediately and the notice of dismissal shall be immediately withdrawn.

9. Grievances arising during the procedure

9.1 Where an employee has a grievance against the way the senior manager has conducted the procedure this will normally be dealt with under the appeals process set out above. However, in very exceptional circumstances, where the behaviour of the senior manager is the cause of the grievance and there is strong evidence pertaining to this, it may be appropriate to suspend this procedure for a short period until the grievance has been considered. This will typically be the decision of the Headteacher.

10. Trade Union Officials

10.1 Although normal performance standards must apply to an employee who is a lay trade union official, no disciplinary action, beyond an informal oral warning will be taken until the circumstances of the case have been discussed with the relevant professional trade union officer.

11. Confidentiality

11.1 Our aim is to deal with performance matters sensitively and with due respect for the privacy of any individuals involved. All employees must treat as confidential any information communicated to them in connection with a matter which is subject to this capability procedure.

11.2 The employee, and anyone accompanying the employee (including witnesses), must not make electronic recordings of any meetings or hearings conducted under this procedure. Failure to observe confidentiality could be a reason for disciplinary action under the school's disciplinary procedure.

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Appendix A: Protocol for Classroom and Leadership Observations

A1 Classroom Observations

- A1.1 The Headteacher and Governing Body is committed to ensuring that classroom observation is developmental, supportive and fair 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.
- A1.2 The total period for classroom observation arranged for any teacher for the purposes of performance management should reflect and be proportionate to the needs of the individual. Where teaching is consistently 'good or better' the total amount of observation time for performance management purposes should not typically exceed 3 hours throughout the school year.
- A1.3 The general arrangements for classroom observation will be included in the planning and review statement.
- A1.4 Where evidence emerges about the reviewee's teaching performance which gives rise to concern during the cycle classroom, then additional observations may be arranged to those recorded at the beginning of the cycle subject to a revision meeting being held. Additional observations will also typically be arranged in a timely fashion where lessons are graded inadequate or 'requires improvement'.
Additional observations may also be requested by the teacher if they do not feel that an observed lesson is a good reflection of the quality of practice of which they believe themselves capable.
- A1.5 Information gathered during the observation will be used, as appropriate, for a variety of purposes including to inform school self-evaluation and school improvement strategies.
- A1.6 In keeping with the commitment to supportive and developmental classroom observation those being observed will typically be notified in advance of the day of the observation.

Where classroom practice is causing serious concern and is subject to capability procedures, then completely unannounced formal observations may take place for the purposes of monitoring the quality of teaching and learning; and providing accurate and timely feedback to support swift improvements in the quality of teaching.
- A1.7 Classroom observations will only be undertaken by persons with QTS. In addition, in this school classroom observation for the purposes of performance management (graded observations) 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. This will usually be members of the senior leadership team.
- A1.8 Oral feedback will be given as soon as possible after the observation and typically no later than the end of the following working day. It will be given during directed time in a suitable, private environment.
- A1.9 Written feedback will be usually 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 planning and review statement these should also be covered in the written feedback and the appropriate action taken in accordance with school policy and guidance.
- A1.10 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.

A2 Informal Classroom Drop-Ins

- A2.1 A head teacher 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 have a right to drop in to inform their monitoring of the quality of learning.
- A2.2 In this school drop-ins will be undertaken by the head teacher supported and appropriate and designated member(s) of the leadership team (including senior leaders and subject leaders).
- A2.3 As these are not formal lesson observations, no written feedback will be given, though informal notes may be taken to inform an evidence base around the quality of pupils learning throughout the school. Teachers have the right to access any notes taken in relation to their own class.
- A2.4 As part of our commitment to supporting staff to develop and become increasingly confident in their practice, informal oral feedback may sometimes be given if it is felt this will help the teacher to think about or to improve key aspects of their own practice.
- A2.4 If any aspect of classroom practice seen during leadership visits gives cause for concern, the teacher will be informed so that, if necessary, further investigation may be undertaken or additional lesson observations arranged. If this further investigation leads to a decision that a national standard is not met at the appropriate career stage or that there are significant concerns around practice, then the support arrangements outlined in section 8.2 and 8.3 of the main policy will apply.

A3 Observation of Leadership Practice

- A3.1 Leaders will have a number of formal leadership observations in the course of the appraisal period which will be linked to appraisal objectives, with the focus agreed in advance with the appraiser. These may be announced or unannounced.
- A3.2 There may also be informal observations. Informal observations and shared experiences / initiatives with a leadership dimension may also be used to support the evidence base in relation to appraisal objectives.
- A3.3 Un-announced observations may also be used for those leaders who are performing below their career stage expectations or where there are concerns about performance. The appraiser will meet and record the meeting where this is discussed.

Appendix B: Guidance on the Process for Reviewees

The appraisal cycle gives you the opportunity to demonstrate the quality of your professional practice and your contribution to the school. It recognises your strengths and helps identify areas for further professional development. It also provides evidence for your career development and pay progression.

Appraisal concerns two main areas of professional performance:

1. Overall Performance (eg, general quality of teaching, pupil progress etc)
2. Performance against objectives which are specific to each individual and related to school priorities, professional development needs, and career stage expectations (see appendix 4)

The framework of expectations that guides your appraisal process includes:

- Your objectives from the previous cycle and any monitoring evidence/feedback relating to them.
- Your job description.
- Any relevant whole-school or team objectives specified in the School Improvement Plan.
- The relevant requirements from the School Teachers' Pay and Conditions Document.
- Any relevant Professional Standards for Teachers.
- The National Teacher Standards
- Career stage expectations (appendix 4)
- Any OFSTED criteria to which you make a contribution that is linked to your professional role.
- Any relevant pay progression criteria (eg, threshold)
- Any recent monitoring feedback (eg, points for development from lesson observations, work scrutiny etc) which may be useful in setting objectives for the upcoming cycle.

Performance review and professional development are directly linked. In order to meet the challenges of objectives and professional growth the school must provide appropriate professional development opportunities and support (within its existing or available resources). Your reviewer should be the Headteacher or an appropriately experienced member of the leadership team assigned by the Headteacher.

Reviewers are responsible for:

- Agreeing relevant and challenging objectives with teachers.
- Overseeing the audit against national standards and guiding the teacher to identify professional development needs.
- Prompting robust professional dialogue based on clear expectations and criteria.
- Ensuring that classroom observations are completed, recorded and discussed with teachers.

- Maintaining an ongoing relationship with their reviewees, monitoring and supporting progress towards the achievement of their objectives.
- Writing accurate, clear and focused evaluations in all parts of the appraisal process.

The Appraisal Cycle



The Appraisal Objectives

Central to the performance management process is this key statement from the statutory guidance:

'The reviewee's objectives shall be such that, if they are achieved, they will contribute to improving the progress of pupils at the school'.

In this school teachers, including the headteacher, will typically have 3 or 4 key objectives, though this will not necessarily always be the case. The number of objectives will depend on the experience of the member of staff and the performance management expectations of their position and level of responsibility.

Typically there will be two overall objectives for MPS (Main Pay Scale) teachers, and an additional 'leadership for learning' objective for teachers with a TLR or leadership responsibility of any kind. The additional 'leadership objective' will also apply to teachers wishing to demonstrate impact beyond their own classroom (eg, threshold teachers, or teachers wishing to take a lead in a particular area for their own professional development). Each objective is broken down into component parts around which there can be a constructive professional dialogue about the reviewees current practice and priorities for development.

Links to national standards and expectations should be explicit and should arise from professional discussion and, where relevant, an audit against national standards which occurs prior to the planning/objective setting meeting.

All teaching staff will receive objectives within the same broad overall framework to ensure that the overall impact of individual performance management is to secure wider school improvement.

The overall objectives are linked to:

1. To secure good or outstanding learning for all pupils (Teaching, Learning and Achievement)
2. Objective related to professional practice in an area identified within the school improvement plan (*eg, in 2011-12, this objective was: to improve the quality of writing and recording of learning in all subjects across the curriculum.*)
3. Leadership for learning across the school

Whilst these broad overall objectives are the same for everybody, the specific foci and actions for each objective should be personalised for the teacher. It should reflect their current level of experience, level of responsibility, career stage expectations, interests, professional development needs and wider career aspirations. The outcomes should always be expressed as a clear statement of what the impact of the teachers actions will be (and what the evidence will look like). This will include expectations for pupil progress by the end of the year.

Very good progress towards the achievement of a challenging objective, even if the performance criteria have not been met in full, will be assessed favorably. This is particularly the case where the reviewee has agreed to a 'stretch' target which offers additional professional challenge.

Guidance on 'Stretch' Targets

In addition to the normal objectives (which should themselves ensure the continual improvement of the teachers practice) there may also be the opportunity to adopt 'stretch' targets in key areas.

For example, a stretch target might add for 40% pupils to make 3 sub-levels progress; or for an identified group of pupils to make accelerated progress above and beyond what might be expected.

A 'stretch target' will mean different things to different teachers, depending on their current level of professional practice (for example, a target which might be a normal professional expectation for a teacher on the UPS or AST scale would likely be a 'stretch' target if it were given to a teacher on M2).

There are typically two reasons to adopt a stretch target:

- Professional motivation and career progression. This is where the teacher wishes to adopt an ambitious 'stretch' target earlier than might normally be considered for someone at their current stage of career development. This may be done with a view to future aspirations. For example, it is recommended that 'excellent teacher' standards are referred to by teachers from M4 onwards to create a strong evidence base for threshold application, so this might be used to form 'stretch targets' for this teacher.
- Professional aspiration. This is where the teacher wishes to strive toward an outcome which many not be the most 'likely' but could be 'possible' and is therefore a very ambitious goal. For example: if a class is predicted to make 70% Level 3B in Maths by the end of the year, the teacher may wish to try strategies to accelerate progress and adopt a stretch target and aim for 85%. Aspiration is to be encouraged, and there are no punitive measures or procedures to be used should a stretch target not be achieved.

Differentiating Appraisal objectives

Objectives should be differentiated and reference should be made to the teacher standards (see appendix c) and agreed career stage expectations (see appendix d).

Objectives for teachers can include the following principles and emphasis to further support appropriate differentiation of expectations:

Main scale teachers (M1 to M6):

- refer to Appendix D (Career Stage Expectations Descriptors)
- improving individual areas of personal practice identified through observation, monitoring and review
- implementing school policy and practices more effectively

- continuing professional development and implementing the outcomes effectively
- Refer to 'excellent teacher standards' and 'threshold standards' from M4-M6 to support eligibility for pay progression.

Post-threshold teachers (UPS1):

- refer to Appendix D (Career Stage Expectations Descriptors)
- contributing in a substantial and sustained manner to school policy and practice (including impact beyond own classroom)
- demonstrating professional growth in the development of personal teaching expertise post-threshold
- Supporting other teachers in their practice

Post-threshold teachers UPS2 and 3 additional expectations:

- sustaining positive role modelling of teaching and learning for other teachers, including supporting other teachers in their practice
- making of a distinctive contribution to the raising of pupil standards
- effectively contributing to the work of the wider team
- using opportunities for personal professional development to improve pupils' learning

TLR post holders (refer also to national standards for subject leaders):

- refer to Appendix D (Career Stage Expectations Descriptors)
- developing a curriculum area or pupil development across the curriculum
- impacting on the progress of pupils beyond those personally taught
- leading, developing and enhancing the teaching practice of other staff

Leadership group teachers:

- impacting on the confidence and commitment of other staff and pupils
- creating and implementing strategic vision in the school
- enhancing the standards of teaching and learning
- demonstrating professional growth in the development of leadership expertise over time

Appendix C: Audit Against National Standards

TEACHERS' STANDARDS AUDIT

Teacher's should always give 'due regard' to strengths and weaknesses against these standards during the appraisal process. Where performance is consistently less than good, a full audit against the teacher standards may be completed in order to support and secure improvement in the necessary areas.

NAME.....

PAY POINT.....

DATE

Standard +* area where you may be able to help others -* area where you may need help from others	+*	-*
1.1. Set high expectations which inspire, motivate and challenge pupils <ol style="list-style-type: none"> 1. Establish a safe and stimulating environment for pupils, rooted in mutual respect 2. Set goals that stretch and challenge pupils of all backgrounds, abilities and dispositions 3. Demonstrate consistently the positive attitudes, values and behaviour which are expected of pupils 		
1.2. Promote good progress and outcomes by pupils <ol style="list-style-type: none"> 1. Be accountable for pupils' attainment, progress and outcomes 2. Plan teaching to build on pupils' capabilities and prior knowledge 3. Guide pupils to reflect on the progress they have made and their emerging needs 4. Demonstrate knowledge and understanding of how pupils learn and how this impacts on teaching 5. Encourage pupils to take a responsible and conscientious attitude to their own work and study 		

<p>1.3. Demonstrate good subject and curriculum knowledge</p> <ol style="list-style-type: none"> 1. Have a secure knowledge of the relevant subject(s) and curriculum areas, foster and maintain pupils' interest in the subject and address misunderstandings 2. Demonstrate a critical understanding of developments in the subject and curriculum areas, and promote the value of scholarship 3. Demonstrate an understanding of and take responsibility for promoting high standards of literacy, articulacy and the correct use of standard English, whatever the teacher's specialist subject 4. If teaching early reading, demonstrate a clear understanding of systematic synthetic phonics 5. If teaching early mathematics, demonstrate a clear understanding of appropriate teaching strategies 		
<p>1.4. Plan and teach well structured lessons</p> <ol style="list-style-type: none"> 1. Impart knowledge and develop understanding through effective use of lesson time 2. Promote a love of learning and children's intellectual curiosity 3. Set homework and plan out-of-class activities to consolidate and extend the knowledge and understanding pupils have acquired 4. Reflect systematically on the effectiveness of lessons and approaches to teaching 5. Contribute to the design and provision of an engaging curriculum within the relevant subject area(s) 		
<p>1.5. Adapt teaching to respond to the strengths and needs of all pupils</p> <ol style="list-style-type: none"> 1. Know when and how to differentiate appropriately, using approaches which enable pupils to be taught effectively 2. Have a secure understanding of how a range of factors can inhibit pupils' ability to learn and how best to overcome these 3. Demonstrate an awareness of the physical, social and intellectual development of children, and know how to adapt teaching to support pupils' education at different stages of development 4. Have a clear understanding of the needs of all pupils, including those with special educational needs; those with high ability; those with English as an additional language; those with disabilities; and be able to use and evaluate distinctive teaching approaches to engage and support them 		

<p>1.6. Make accurate and productive use of assessment</p> <ol style="list-style-type: none"> 1. Know and understand how to assess the relevant subject and curriculum areas, including statutory assessment requirements 2. Make use of formative and summative assessment to secure pupils' progress 3. Use relevant data to monitor progress, set targets, and plan subsequent lessons 4. Give pupils regular feedback, both orally and through accurate marking, and encourage pupils to respond to the feedback 		
<p>1.7 Manage behaviour effectively to ensure a good and safe learning environment</p> <ol style="list-style-type: none"> 1. Have clear rules and routines for behaviour in classrooms, and take responsibility for promoting good and courteous behaviour both in classrooms and around the school, in accordance with the school's behaviour policy 2. Have high expectations of behaviour, and establish a framework for discipline with a range of strategies, using praise, sanctions and rewards consistently and fairly 3. Manage classes effectively, using approaches which are appropriate to pupils' needs in order to involve and motivate them 4. Maintain good relationships with pupils, exercise appropriate authority and act decisively where necessary 		
<p>1.8 Fulfil wider professional responsibilities</p> <ol style="list-style-type: none"> 1. Make a positive contribution to the wider life and ethos of the school 2. Develop effective professional relationships with colleagues, knowing how and when to draw on advice and specialist support 3. Deploy support staff effectively 4. Take responsibility for improving teaching through appropriate professional development, responding to advice and feedback from colleagues 5. Communicate effectively with parents with regard to pupils' achievements and well-being 		

<p>Part 2 Personal and Professional Conduct ** + performance in line with expectations - performance may be below expectations</p> <p>The following statements define the behaviour and attitudes which set the required standard for conduct throughout a teacher's career</p>	+**	_**
<p>2.1. Teachers uphold public trust in the profession and maintain high standards of ethics and behaviour, within and outside school, by:</p> <ol style="list-style-type: none"> 1. Treating pupils with dignity, building relationships rooted in mutual respect, and at all times observing proper boundaries appropriate to a teacher's professional position 2. Having regard to the need to safeguard pupils' well-being, in accordance with statutory provisions 3. Showing tolerance of and respect for the rights of others 4. Not undermining fundamental British values, including democracy, the rule of law, individual liberty and mutual respect, and tolerance of those with different faiths and beliefs 5. Ensuring that personal beliefs are not expressed in ways which exploit pupils' vulnerability or might lead them to break the law <p>2.2 Teachers must have a proper and professional regard for the ethos, policies and practice of the school in which they teach, and maintain high standards in their own attendance and punctuality</p> <p>2.3 Teachers must have an understanding of, and always act within, the statutory frameworks which set out their professional duties and responsibilities</p>		

Preamble	+**	_**
<ul style="list-style-type: none"> • Teachers make the education of their pupils their first concern, and are accountable for achieving the highest possible standards in work and conduct. Teachers act with honesty and integrity; have strong subject knowledge; keep their knowledge and skills as teachers up-to-date and are self-critical; forge positive professional relationships; and work with parents in the best interests of their pupils. 		

Appendix D: Career Stage Expectations Descriptors

NAME PAY POINT..... DATE SELF/SCHOOL ASSESSMENT (delete as appropriate)

Professional Area	Relevant Standards	M2	M4	M6	UPS 1	UPS 3	Evaluation
PROFESSIONAL PRACTICE	1.1(1);1.2(2,3,5) 1.3 (1,3) 1.4(1,2,3) 1.5 all 1.6 (1) 1.7 (1,2,3) 1.8 (3) 2.1 (2,4) Preamble	All teaching at least satisfactory and showing clear, incremental improvement; with a significant proportion of teaching good or better	All teaching good or better	All teaching at least good; some outstanding	All teaching at least good; most outstanding	All teaching consistently outstanding	
PROFESSIONAL OUTCOMES	1.1(2) 1.2(1,2,3) 1.5(1) 1.6 (3,4) Preamble	Most pupils make 'good' progress - in line with school expectations.	Almost all pupils make at least 'good' or better progress - in line with school expectations	Almost all pupils make 'good' or better progress in line with school expectations; some exceed them	Progress is consistently good, some is outstanding. A group make accelerated progress	Progress is consistently strongly good or outstanding. A significant portion makes accelerated progress	
PROFESSIONAL RELATIONSHIPS	1.1(1) 1.6(4) 1.7(4) 1.8(2,3,5) 2.1 (1,3,4) Preamble	Positive working relationships with pupils, colleagues and parents	These relationships are securely focussed on improving provision for pupils	Professional relationships with pupils, colleagues and staff lead to excellent class provision	Plays a proactive role in building key stage or departmental teams to improve provision and outcomes	Plays a proactive role in building school-wide teams to improve provision and outcomes	
PROFESSIONAL DEVELOPMENT	1.2(4,5) 1.3(1,2,4,5) 1.4(5) 1.5(2,3,4) 1.6(1) 1.8(4) 2.1(2) 2.3 Preamble	Able, with support, to identify key professional development needs and respond to advice and feedback	Takes a proactive role in accessing relevant support and professional development from colleagues	Fully competent practitioner able to keep up-to-date with changes and adapt practice accordingly	Plays a proactive role in leading the professional development of key stage or departmental colleagues	Plays a proactive role in leading the professional development of colleagues across the school	
PROFESSIONAL CONDUCT	1.1(3) 1.7(1) 1.8(1) 2.1(all) 2.2 2.3 Preamble	Meets all standards	Meets all standards	Meets all standards	Meets all standards	Meets all standards	

Appendix E: Professional Standards Review Pro-Forma (for end of year review)

Standard	Met	Not Met
1 Preamble		
2. Personal and Professional Conduct		

Standard	Meets CSE*	Below CSE*	Meets ASL*	Not Yet At ASL*
1.1 Set high expectations which inspire, motivate and challenge pupils				
1.2 Promote good progress and outcomes by pupils				
1.3 Demonstrate good subject and curriculum knowledge				
1.4 Plan and teach well structured lessons				
1.5 Adapt teaching to respond to the strengths and needs of all pupils				
1.6 Make accurate and productive use of assessment				
1.7 Manage behaviour effectively to secure a good and safe learning environment				
1.8 Fulfil wider professional responsibilities				

*CSE = Career Stage Expectations as defined in school documentation

*ASL = Aspirational Skill Level (if applicable - eg for potential threshold applicants)

Appendix F: Planning and Objective Setting Proforma

Name:	Date of meeting:	Line Manager:
Current Position and Responsibilities:		Terms of Reference for National Standards:

Professional Standards Applicable to Current Pay Point			
Current Pay-Scale / Spine Point:	MPS (National Teacher Standards)	Working toward threshold (MPS 4+)	Threshold Assessment (end of MPS 6)
	UPS progression	AST	Leadership Scale

Areas for Professional Learning / Development Identified from audit against national standards:

Where appropriate, the audit tool/discussion with managers has identified the following standards that are not currently met and are a priority for attention (these should must in full, or part, be reflected in objectives within the next cycle). Numerical reference to national standards should also be made in the planning form.

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Standards related to aspirational career progression (if relevant)

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Objective 1: To secure good or outstanding learning for all pupils (Teaching, Assessment, Achievement)

Context/Focus of the objective for this teacher (if relevant):

Key Area	Relevant reference to Nat Standards	Interim Review	Final Review	Objective Achieved

Record of agreed Additional Support / Agreed Professional Development to meeting the above objectives

AGREED EVENT	Record of events (reviewee responsibility)
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Objective 2: [School Improvement Focus Area]				
Context/Focus of the objective for this teacher (if relevant):				
Key Area	Relevant reference to Nat Standards	Interim Review	Final Review	Objective Achieved

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Record of agreed Additional Support / Agreed Professional Development to meeting the above objectives

AGREED EVENT	Record of events (reviewee responsibility)

Objective 3: Leadership for Learning across the school (developing leadership and wider contribution)

Context/Focus of the objective for this teacher (if relevant): Leadership target or additional teachers standard			
Key Area	Interim Review	Final Review	Objective Achieved

Record of agreed Additional Support / Agreed Professional Development to meeting the above objectives	
AGREED EVENT	Record of events (reviewee responsibility)

Looking to the future – wider professional development and aspiration (summary of discussion)

Target Setting Meeting

Review Meeting

Arrangements for Classroom Observation Related to PM

The main focus of all observations will be the overall impact of teaching on learning; any further specific aspects for focus will be determined in the light of the teachers previous feedback (and identified areas for development) and the school improvement priorities at the relevant time'.

Autumn Term	
Spring Term	
Summer Term	

Any additional notes following discussion with teacher (Target Setting)

Any additional notes about outcomes of lesson observations from review meeting?

Summary of evidence of Pupil Progress in Core Subjects in the completed cycle

(NB: this should be completed following the summer term Pupil Achievement Meeting)

Reading	Writing	Maths

Summary of evidence from classroom observation and other monitoring in the completed cycle

Reviewer's evaluation

Any other evidence from the completed cycle?

Reviewer's overall evaluation

In this section, the reviewer summarises the evidence derived from the performance objective record, the lesson observations listed, and any other evidence sources from the school's monitoring practices

Appendix F: Performance Appraisal - Pay Recommendation Form

Staff member and Performance Appraisal details			
Staff Member Name:			
Job title:			
Outcome of Performance Appraisal:			
Notes:			
Pay recommendation made?	Yes/No (if No, salary remains unchanged and authorisations below required)		
Pay recommendations			
Current Grade and Scale Point	Grade:	Scale Point:	Salary
Recommended Grade and Scale point	Grade	Scale Point	Salary
Notes:			
Authorisations	Signature		Date
Appraiser			
Relevant SLT member (where appropriate)			
Headteacher			

Notes:

Pay Committee Decision

Pay Recommendation Approved?	Yes/No
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Notes:

Authorisations	Signature	Date
Head of Pay Committee		