



Appraisal Policy

GCC Plus (HR Policy & Guidance)



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1.0 Introduction

- 1.1 Appraisal in this school will be a supportive and developmental process designed to ensure that all staff have the skills and support to carry out their roles effectively. It will help to ensure that all staff are able to continue to improve their professional development and practice.
- 1.2 The policy sets out the framework for a clear and consistent assessment of the overall performance of staff and how this will be measured against the expected standards and link to decisions about pay.
- 1.3 Objectives and development must be within the context of the school's plan for improving educational provision and performance.
- 1.4 When the appraisal process does not resolve concerns which arise about performance, it becomes necessary to manage improvement through the capability procedure.
- 1.5 This policy does not form part of any employee's contract of employment and is entirely non-contractual. It may be amended, withdrawn, suspended or departed from at the discretion of the school at anytime.
- 1.6 This policy applies to teachers ('burgundy book') and support staff ('green book').

2.0 Appraisal

- 2.1 An appraisal is a regular review of performance against a set of agreed criteria, objectives or standards.
- 2.2 Employees should have an appraisal once a year.
- 2.3 It enables the employee and the appraiser to discuss how the job is met, how the employee can contribute to the aims and success of the school and the right outcomes for pupils. It will also provide a regular opportunity to discuss with the manager/Headteacher any difficulties that may be affecting work, and what support can be given to make changes.
- 2.4 It applies to all staff in the school, excluding those on contracts of less than one term; those undergoing induction (probationary period for support staff and ECT period for teachers); and staff who are subject to the capability procedure.
- 2.5 It is good practice to meet regularly throughout the year to discuss how staff are performing, and whether they are on track to meet the objectives set.
- 2.6 At a minimum the manager/Headteacher and employee should meet half way through the year at six months, but it may be termly or monthly depending on the role and the objectives.
- 2.7 The school has decided that the annual appraisal cycle will be:
 - 2.7.1 31st October for teachers
 - 2.7.2 31st December for Headteachers
 - 2.7.3 31st December for support staff

- 2.8 The school expects all staff to participate in the appraisal process. For teaching staff in a maintained school, there is a statutory requirement for the governing body to have an appraisal policy. It is also a statutory requirement that it enables performance to be linked to pay. For further information on this, please refer to the school's pay policy.
- 2.9 For support staff, although not a legal requirement, appraisal is part of good management practice to enable staff members to have a regular discussions about their work.
- 2.10 Academies are not required, by law, to have an appraisal policy. However, it is good practice and important to be able to manage the performance, pay and development of staff through a transparent and fair system.
- 2.11 The Headteacher will be appraised by a sub-group of the governing body, supported by a suitably qualified and/or experienced external adviser who has been appointed by the governing body for that purpose. The sub-group will normally consist of 2 or 3 members of the governing body, who will not be members of the school staff.
- 2.12 The Headteacher will decide who will appraise other teachers and support staff. The appraiser will be either the employee's manager or someone appropriate with equivalent or higher status in the school's staffing structure. For teachers, the appraiser will have qualified teacher status.
- 2.13 If the member of staff has an objection to the allocation of an appraiser, they should explain their reasons, in writing, to the Headteacher (Chair of Governors in the case of the Headteacher), who will consider the situation. However, the decision lies with the Headteacher (or Chair of Governors in the case of the Headteacher).
- 2.14 Appraisal information and documentation will remain confidential to the employee and the appraiser, line manager and the Headteacher. In certain circumstances, such as concerns about performance or an appeal, it may be necessary to share the documentation on a confidential basis with those involved in taking the matter forward under the terms of this or a related policy e.g. a governors' panel.
- 2.15 OFSTED is entitled to see anonymised appraisal information, as is the governing body, for monitoring purposes.

3.0 Support staff appraisal

- 3.1 For support staff there will be a discussion regarding the role(s) in school. This may cover how the role has changed or may change. There will be:
- 3.1.1 A review of the standard of work and whether or not it meets expectations
 - 3.1.2 Unless this is the first appraisal, a review of how well last years objectives have been met
 - 3.1.3 If the role supports pupils' learning, a review of how well this is working
 - 3.1.4 Consideration of any training or development needs
 - 3.1.5 Objectives for the coming appraisal period

4.0 Teachers' appraisal

- 4.1 For teachers the appraisal will consider the whole role undertaken in school. Teachers who hold additional responsibility, for example, a Teaching and Learning responsibility (TLR), as

SENCO, or on the Leadership pay range, (including the Headteacher), will have these duties and responsibilities included, and it could form the basis for one or more of the objectives. The discussion will also consider:

- 4.1.1 How the role has changed or may change
 - 4.1.2 Unless this is the first appraisal, the appraiser will review performance in completing last year's objectives
 - 4.1.3 Assessment against the Teachers Standards, or appropriate standards if the employee does not hold QTS
 - 4.1.4 Any training and development to meet the needs of the service and support the teacher's continuous professional development
 - 4.1.5 The progress of pupils assigned to the employee
 - 4.1.6 Objectives for the coming appraisal period
 - 4.1.7 Whether objectives and relevant standards have been successfully met, and how this will affect pay.
- 4.2 Teacher observations will be included as evidence in the appraisal process.
 - 4.3 The Headteacher will set up a programme of regular monitoring of teaching across the school. Unless this is the first observation in the school, the observation will be taken together with previous observations to form part of an overall picture of performance.
 - 4.4 A single lesson observation on its own will not be used to judge the quality of teaching. As pupils are assessed over time, so will the quality of teaching. The school will also consider pupils' work, marking, assessment and progress, and the understanding of the pupils about their work, progress and achievement.
 - 4.5 The amount and type of classroom observation will depend on the individual circumstances of the teacher and the needs of the school. To ensure the standards of teaching, and the general smooth running of the school, the Headteacher or other designated person, may also undertake "drop in" observations.
 - 4.6 Where a lesson has been observed, teachers will receive constructive feedback shortly after the observation takes place as part of the normal management process, and this will aim at being balanced and supportive, raising areas of strength as well as considering areas needing development.

5.0 Objective setting

- 5.1 Objectives set will be appropriate to the role the employee holds in school, their career aspirations and the level of skills and experience. An objective may be about doing the job better, or it may be a particular project or task, but it should contribute to educational provision, pupil outcomes, and continuous school improvement, either directly or indirectly, depending on the role.
- 5.2 For teachers there will normally be three objectives, set before or as soon as practicable after the start of the appraisal period. One of the objectives should focus on CPD. Objectives for support staff are not as prescriptive, but it would be appropriate to follow the same pattern as for teachers.
- 5.3 Whilst the appraiser will look to agree the objectives with the employee, if this is not possible, the final decision will be with the appraiser.

6.0 Absence and the appraisal

- 6.1 Attendance may be an area of concern and can affect the outcome of the appraisal. However, the circumstances for each individual will be different and these will need to be taken into consideration.
- 6.2 If an employee is on maternity leave, the school should take into consideration the performance, both prior to and on return from maternity leave. Where there has normally been good or better performance whilst at work, it is reasonable to expect that this would have been the case had the employee not been away from work.
- 6.3 With sickness absence not related to maternity the situation is more complex. Intermittent or long-term absence is likely to impact on individual and school performance and may need to be dealt with as a performance issue under the school's sickness absence or attendance policy. The school will have due regard to any disability or other condition which affects attendance and performance at work. Employees should ensure that their line manager or Headteacher is made aware of any such condition as it arises.

7.0 Inadequate appraisal ratings

- 7.1 As part of the regular meetings the employee has with their appraiser, they will be made aware of the areas they need to improve and what they need to do to meet expectations.
- 7.2 When a concern arises, if a meeting is not scheduled, then the line manager or Headteacher should arrange a meeting as part of the appraisal process to discuss the concerns.
- 7.3 The following should be completed at the meeting (this list is not exhaustive):
 - 7.3.1 Revise objectives to reflect areas of development
 - 7.3.2 Agree appropriate support and how it will be put in place
 - 7.3.3 Timescales for improvement will be agreed including a date for the next meeting
- 7.4 This will be part of the normal appraisal process. It will review whether or not the employee has addressed the areas of concern. If they have, then the appraisal process can continue.
- 7.5 If concerns remain, the line manager or Headteacher will arrange a structured meeting to establish an action plan. The meeting will:
 - 7.5.1 Give clear feedback about the nature and seriousness of the concerns
 - 7.5.2 Clarify what action and support has already taken place
 - 7.5.3 Give the employee the opportunity to comment and discuss the concerns
 - 7.5.4 Agree any support that will be provided to help address the concerns
 - 7.5.5 Make it clear how progress will be monitored and when it will be reviewed
 - 7.5.6 Explain what will happen next if no, or insufficient, improvement is made.
- 7.6 If after the monitoring period there has been insufficient improvement, the employee will be notified in writing and invited to a formal meeting under the capability procedure.

- 7.7 Depending on how serious the concerns are (including recurring concerns about performance) the line manager/Headteacher may decide to move straight to the capability procedure as soon as the concerns have been identified.

8.0 Pay and appraisals

- 8.1 For teachers, pay will be linked to the appraisal. Targets will be set in the first academic term for assessment the following October. The Pay Policy sets out the criteria required to achieve a pay increase and progress through the pay range, or achieve a change in pay range. Broadly, this means that the teacher will need to achieve the objectives and the teacher standards, with teaching judged to be consistently good or better.
- 8.2 Teachers are entitled to receive an annual statement of pay and this will confirm any change as a result of the appraisal.
- 8.3 Support staff receive an increment on 1st April each year until the maximum of the grade is reached. Particular arrangements apply for support staff that commence their employment on or after 1st October. Should performance fall below the expected standard and the employee become subject to formal performance (including capability) procedures, incremental progression is likely to be withheld. Please note, this may not apply to all Academies.
- 8.4 For all staff, the appraiser/Headteacher should inform the employee that pay may be affected when serious concerns are raised about performance.

9.0 Appealing an appraisal outcome

- 9.1 The first stage is to discuss with the appraiser the decisions about performance that have been made and to understand the evidence on which those decisions are based. If the employee can demonstrate that evidence used for the appraisal was inaccurate or incomplete, the employee should make this information available to the appraiser, who can review the assessment and decide whether or not they need to change the appraisal outcomes.
- 9.2 If the employee remains unhappy with the decision, they can write to the Headteacher (Chair of Governors in the case of the Headteacher) who will arrange for the situation to be reviewed.
- 9.3 If the employee is unhappy about a pay decision arising out of appraisal this can be dealt with through the pay appeal process as detailed in the pay policy.

10.0 The Governing Board role

- 10.1 The Governing Board will appoint a pay panel (committee) and an appeals panel. The panels' roles are described in the pay policy. Additionally, the governing board will monitor the operation and effectiveness of the school's appraisal arrangements.
- 10.2 The governors will also monitor the appraisal arrangements to ensure that the appraisal procedures are conducted fairly and without unfair discrimination.

10.3 The Headteacher will present an annual report to governors summarising the main outcomes, or issues that may require review, including matters affecting standards, curriculum or resource planning.

11.0 Helpful sources of information

11.1 There are a number of policies that are linked to the appraisal policy

- 11.1.1 School pay policy
- 11.1.2 School sickness absence policy
- 11.1.3 School attendance policy
- 11.1.4 Capability policy
- 11.1.5 Conduct policy
- 11.1.6 Teachers' standards.

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