

## **Appraisal Policy (All Staff)**

<b>Date</b>	<b>Review Date</b>	<b>Coordinator</b>	<b>Nominated Governor</b>
<b>22/03/17</b>	<b>21/03/18</b>	<b>J Brooks</b>	<b>R Ivens</b>

Approved by the Governing Body of Maplewell Hall School, meeting 11<sup>th</sup> May 2017

The Governing Body of Maplewell Hall School adopted this policy on 14<sup>th</sup> November 2013 following consultation with the recognised unions.

### **Purpose**

This procedure sets out how Maplewell Hall School will improve outcomes for students, and raise the morale of the staff, by motivating all employees to up-date their skills and improve their performance. The process is intended to be supportive and developmental and will be used to stimulate professional dialogue.

The appraisal procedure will be used also to address any concerns that are raised about an employee's performance. If concerns are such that they cannot be resolved through the appraisal process, there will be consideration of whether to commence the capability procedure.

### **Application of the Appraisal Policy**

This policy applies to every member of staff employed at the school except those on contracts of less than one term and those undergoing induction or on capability procedures

Appraisal in this school will be a supportive and developmental process designed to ensure that all employees have the skills and support they need to carry out their roles effectively. It will help to ensure that employees are able to continue to improve their practice and to develop as professionals.

### **The Appraisal Period**

The appraisal period will run for twelve months normally from October to September for teachers and from January to December for members of the support staff.

Employees who are contracted for a fixed term of less than one year will have their performance managed in accordance with the principles underpinning this policy. The length of the period will be determined by the duration of their contract.

Where an employee starts their employment at the school part-way through a cycle, the head teacher or, in the case where the employee is the head teacher, the governing body shall determine the length of the first cycle for that employee, with a view to bringing his/her cycle into line with the cycle for other employees as soon as possible.

Where an employee transfers to a new post within the school part-way through a cycle, the head teacher or, in the case where the employee is the head teacher, the governing body shall determine whether the cycle shall begin again and whether to change the appraiser.

## **Appointing Appraisers**

Appraisers of teachers, other than those appraising head teachers, will be teachers. Appraisers of members of support staff will normally be those who have responsibility for their line management. All appraisers will be suitably trained.

### **Head Teacher**

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.

The task of appraising the head teacher, including the setting of objectives, will be delegated to a subgroup consisting of normally 3 members of the Governing Body.

Where a head teacher is of the opinion that any of the governors appointed by the governing body is unsuitable to act as his/her appraiser, s/he may submit a written request for that governor to be replaced, stating the reasons for the request.

### **Other employees**

The choice of appraiser is for the head teacher, who will normally designate a line-manager who will have line-management responsibilities for the teacher that they are reviewing. The appraiser will conduct all aspects of the review, including pay recommendations, for teachers who are eligible. Where employees have an objection to the head teacher's choice, their concerns will be carefully considered and, where possible, an alternative appraiser will be offered. All appraisers of teachers, appointed by the head teacher, will be qualified teachers and will have current or recent teaching experience.

Where it becomes apparent that the appraiser appointed by the head teacher will be absent for the majority of the appraisal cycle, the head teacher may perform those duties herself/himself or delegate those duties to another employee for the duration of that absence.

If the head teacher appoints an appraiser who is not the teacher's line manager, the appraiser to whom she/he delegates those duties will have an appropriate position in the staffing structure, together with the necessary background knowledge, skills and training to undertake the role.

Where an employee is experiencing difficulties and the head teacher is not the appraiser, the head teacher may undertake the role of appraiser. See also section on employees Experiencing Difficulties.

## **Setting Objectives**

The head teacher's objectives will be set by the appraisal sub-group of the Governing Body after consultation with the external adviser and the head teacher.

The teacher standards will be used to inform the setting of the teacher's appraisal objectives. They will not be used as a checklist against which the teacher's performance is assessed but as a guide for professional development. Assessment against the teacher standards will start from the premise that all teachers are

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meeting the teacher standards and they will be assessed as meeting the standards unless clear, compelling written evidence to the contrary is provided.

Objectives 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 appraisee's role and level of experience. In setting the objectives, appraisers will have regard to what can reasonably be expected in the context of roles, responsibilities and experience, consistent with the school's strategy for achieving a work/life balance for all staff. Appraisees may at any point append their comments alongside their objectives.

The appraiser and appraisee will seek to agree the objectives. Objectives may be revised if circumstances change. The school operates a system of moderation to ensure that all appraisers are working to the same standards. Targets will be moderated across the school to ensure that they are consistent between employees with similar experience and levels of responsibility. Should the objectives not be agreed, the final decision on allocation of objectives rests with the head teacher.

The agreed objectives will contain a description of what success may look like. Where use of numerical targets is appropriate, these will be reasonable, in the circumstances in which the employee works and it will be recognised that factors outside employees' control may significantly affect success.

No employee will be given more than three objectives.

The objectives set for each employee are intended to contribute to the school's plans for improving the school's educational provision and performance and improving the education of pupils at that school and will take into account the professional aspirations of the employee.

The appraiser will take into account the effects of an individual's circumstances, including any disability, when agreeing objectives. For example, this might include a reasonable adjustment to allow an individual slightly longer to complete a task than might otherwise be the case. When an employee returns from a period of extended absence, objectives may be adjusted to allow them to readjust to their working environment.

Before, or as soon as practicable after, the start of each appraisal period, each employee will be informed of the standards against which that employee's performance in that appraisal period will be assessed. [Teachers will be assessed against the appropriate set of standards contained in the document "Teachers' Standards" published in June 2013. The head teacher or governing body (as appropriate) will need to consider whether certain employees should be assessed against other sets of standards published by the Secretary of State or other body that are relevant to them. For QTLS holders, that may include the overarching professional standards for teachers in the lifelong learning sector, held by the Learning and Skills Improvement Service.]

## **Pay Progression**

Where teachers are eligible for pay progression, the recommendation made by the appraiser will be based on the assessment of their performance against the agreed objectives. The appraisal review statement at the end of the cycle will be the only source of evidence that teachers require to support pay progression. Teachers can submit additional evidence if they choose to do so, but will not be penalized if they choose not to do so. The decision made regarding pay progression will be based on the statutory criteria and guidance set out in the STPCD and the relevant teacher standards.

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The Governing Body has agreed the pay policy of the school and has considered the implications of the appraisal policy with respect to the arrangements relating to teachers' pay in accordance with the School Teachers' Pay and Conditions Document and, in relation to support staff, the LA Single Status Agreement/The Green Book.

The Governing Body will ensure that decisions on pay progression are made by 31 December for head teachers and by 31 October for other teachers.

## **Reviewing Performance**

### **Observation**

The teacher's objectives are the focus for the appraisal review.

The effective and efficient operation of the appraisal process requires lesson and task observation to be a confidential process of constructive engagement within an atmosphere of support and co-operation.

Accordingly, observations will be carried out in a supportive manner, with professionalism, integrity and courtesy, will be evaluated objectively and reported accurately and fairly and will take account of particular circumstances which may affect performance on the day.

At least 5 working days' notice of the date and time of the observation will be given and verbal feedback provided by at least by the end of the next school day and written feedback within 5 working days, unless circumstances make this impossible.

Classroom observation of teachers will be carried out by qualified teachers.

There will be a limit of 3 observations for all purposes, which will not exceed 3 hours in total for the year. The focus and timing will be agreed in the appraisal planning statement, and will, as far as possible, be agreed by the appraiser with the appraisee based on the individual circumstances of the employee and the overall needs of the school. The number and duration of appraisal observations will be in accordance with the school's observation protocol, which includes provision for exceptional circumstances where concerns have been raised about an employee's performance, or where the employee requests additional observation visits.

For the purpose of professional development, feedback about observations should be developmental, not simply a judgement using Ofsted grades, for example.

This school will use the findings of each observation, including appraisal observations, for other management requirements (for example subject area reviews), thereby seeking to minimise the total number of occasions on which employees are observed.

Employees (including the head teacher) whose posts have responsibilities outside the classroom should also expect to have their performance of those responsibilities observed and assessed.

### **Development and Support**

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 professional development, through peer observation for example. Professional development will be linked to school improvement priorities and to the on-going professional development needs and priorities of individual employees.

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The school's CPD programme will be informed by the training and development needs identified as part of the appraisal process. The governing body will ensure in the budget planning that, as far as possible, resources are made available in the school budget for appropriate training, and support agreed for appraisees, maintaining access on an equitable basis.

An account of the training and development needs of employees including the instances where it did not prove possible to provide any agreed CPD, will form a part of the head teacher's annual report to the governing body about the operation of the appraisal process in the school.

With regard to the provision of CPD in the case of competing demands on the school budget, a decision on relative priority will be taken with regard to the extent to which:

- a) the training and support will help the school to achieve its priorities; and
- b) the CPD identified is essential for an appraisee to meet their objectives.

Account will be taken in a review meeting of where it has not been possible for employees to fully meet their performance criteria because the support recorded in the planning statement has not been provided.

### **Annual Assessment**

Each employee's performance will be formally assessed in respect of each appraisal period. In assessing the performance of the head teacher, the Governing Body must consult the external adviser.

The appraiser will draw up a review statement following discussions with the appraisee, who will have the opportunity to comment on - a written appraisal statement. The appraisal statement 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 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;
- a recommendation on pay where that is relevant (N.B. – pay recommendations need to be made by 31 December for head teachers, by 31 October for other teachers)
- a space for the employee's own comments
- A review meeting can be requested by the employee in order to discuss the content of the report and any further action required and to inform objective setting for the next cycle.

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

### **Employees Experiencing Difficulties**

When dealing with an employee experiencing difficulties, which is causing serious concern, the objective is to provide support and guidance through the appraisal process in such a way that the employee's performance improves and the problem is, therefore, resolved.

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Where it is apparent that an employee's personal circumstances are leading to difficulties at school, support will be offered as soon as possible, without waiting for the formal annual assessment.

If an appraiser identifies through the appraisal process, or via other sources of information, for example parental complaints, that the difficulties causing serious concern by an employee are such that, if not rectified, could lead to capability procedures the appraiser, the head teacher, or a member of the leadership team, will meet the employee to:

- give clear written feedback to the employee about the nature and seriousness of the concerns; □  
give the employee the opportunity to comment on and discuss the concerns;
- give the employee at least 5 working days' notice that a meeting will be held to discuss targets for improvement alongside a programme of support, and inform the employee that he/she has the right to be assisted by a representative of an independent trade union or work place colleague, and at any future meetings where capability will be discussed;
- in consultation with the employee at the above meeting, an action plan with support will be established (for example coaching, training, in-class support, mentoring, structured observations, visits to other classes or schools or discussions with advisory teachers), that will help address those specific concerns;
- make clear how progress will be monitored and when it will be reviewed;
- explain the implications and process if no – or insufficient – improvement is made.

The employee's progress will continue to be monitored as part of the appraisal process and a reasonable time given for the employee's performance to improve. This will depend upon the circumstances, but will be for a period of at least 8 weeks, with appropriate support as agreed in the Action Plan, in order that the aim of recovering and improving performance can be achieved. During the monitoring period the employee will be given regular feedback on progress and arrangements will be made to modify the support programme if appropriate.

If sufficient progress is made such that the employee is performing at a level that indicates there is no longer a possibility of capability procedures being invoked the employee should be informed of this at a formal meeting with the appraiser or head teacher. Following this meeting the appraisal process will continue as normal.

If no, or insufficient, improvement has been made over this period, the employee will be invited to a transition meeting to determine whether formal capability proceedings need to be commenced or the appraisal process remains in place. The employee may be assisted by a trade union representative or work colleague and will have at least 5 working days' notice of the meeting.

## **Appeals**

Appraisees have a right of appeal against any of the entries in the written appraisal report. Details of the appeals process are available from the head teacher or from the school governing body. Where the head teacher has not been recommended for pay progression he/she will be informed by the appropriate governor. The head teacher will notify any employee who has not been recommended for pay progression of the date when the governing body meets to consider pay recommendations, following which the employee (and head teacher when the head has not been recommended for pay progression) may exercise the right of appeal, assisted by a companion who may be a colleague, a trade union official or a trade union representative.

## **General Principles underlying this Policy**

ACAS Code Of Practice on Disciplinary and Grievance Procedures

The conduct of the formal capability stage will be undertaken in accordance with the provisions of the ACAS Code of Practice.

Consistency of Treatment and Fairness

The Governing Body is committed to ensuring consistency of treatment and fairness and will abide by all relevant equality legislation.

All appraisals will take place within the teacher's directed time, without using PPA time.

## **Sickness**

If long term sickness absence appears to have been triggered by the commencement of monitoring or a formal capability procedure, the case will be dealt with in accordance with the school's absence policy and will normally be referred to the occupational health service to assess the member of staff's health and fitness for continued employment and the appropriateness or otherwise of continuing with monitoring or formal procedures. In some cases it may be appropriate for formal procedures to continue during a period of sickness absence. However, the views of the occupational health physician will always be taken into account before a decision is reached.

## **Grievances**

Where a member of staff raises a grievance during the appraisal or capability process, the appraisal or capability process may be temporarily suspended in order to deal with the grievance. Where the grievance and appraisal or capability cases are related it may be appropriate to deal with both issues concurrently.

## **Confidentiality and Professional Relationships**

Appraisal statements are confidential to the Headteacher, appraisee and appraiser. The appraisal and capability processes will be treated with confidentiality. Only the appraiser's line manager or, where s/he had more than one, each of her/his line managers will be provided with access to the appraisee's plan recorded in her/his statements. This will be done upon request and only where this is necessary to enable the line manager to discharge her/his line management responsibilities. Appraisees will be consulted on requests for access to statements in the context of this policy.

The process of gathering evidence for performance review will not compromise normal professional relationships between employees. The governing body recognises that the appraiser will consult with, and seek to secure the agreement of, the appraisee before seeking information from other colleagues about the work of the appraisee.

However, the desire for confidentiality does not override the need for the head teacher and governing body to quality-assure the operation and effectiveness of the appraisal system. The head teacher or appropriate colleague might, for example, review all employees' objectives and written appraisal records personally – to check consistency of approach and expectation between different appraisers. The head teacher might also wish to be aware of any pay recommendations that have been made.

## **Monitoring and Evaluation**

The governing body and head teacher will monitor the operation and effectiveness of the school's appraisal arrangements.

The head teacher will provide the governing body with a written report on the operation of the school's appraisal and capability policies annually. The report will not identify any individual by name. The report will include an assessment of the impact of these policies on:

- Race
- Sex
- Sexual Orientation
- Disability
- Religion and Beliefs
- Age
- Part-time Status
- Maternity and Pregnancy

The operation of the appraisal policy and process has been workload impact assessed to ensure that it does not add to the workload of anyone involved.

The head teacher will report on whether there have been any appeals or representations on an individual or collective basis on the grounds of alleged discrimination.

## **Retention**

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.

## **Equality Impact Assessment**

Under the Equality Act 2010 we have a duty not to discriminate against people on the basis of their age, disability, gender, gender identity, pregnancy or maternity, race, religion or belief and sexual orientation.

This policy has been equality impact assessed and we believe that it is in line with the Equality Act 2010 as it is fair, it does not prioritise or disadvantage any member of staff and it helps to promote equality at this school.

## **Linked Policies**

- Teachers Pay Policy 2016/17
- Support Staff Pay Policy 2016/17

<b>Headteacher:</b>		<b>Date:</b>	22/03/17
<b>Chair of Governing Body:</b>		<b>Date:</b>	11/05/17





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<b>Conclusion</b>	We have come to the conclusion that the undertaking	assessment that a full assessment is not required.
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<b>Preliminary EIA completed by</b>	<b>Date</b>	<b>Preliminary EIA approved by</b>	<b>Date</b>
School Business Manager		Jason Brooks	31.10.13

<b>Policy Evaluation</b>
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Points to be considered	Yes	No	N/A	Please supply evidence
<input type="checkbox"/> Policy annually reviewed				
<input type="checkbox"/> Policy in line with current legislation				
<input type="checkbox"/> Coordinator in place				
<input type="checkbox"/> Nominated governor in place				
<input type="checkbox"/> Coordinator carries out role effectively				
<input type="checkbox"/> Headteacher, coordinator and nominated governor work closely				
<input type="checkbox"/> Policy endorsed by governing body				
<input type="checkbox"/> Policy regularly discussed at meetings of the governing body				
<input type="checkbox"/> School personnel aware of this policy				
<input type="checkbox"/> School personnel comply with this policy				
<input type="checkbox"/> Pupils aware of this policy				
<input type="checkbox"/> Parents aware of this policy				
<input type="checkbox"/> Visitors aware of this policy				
<input type="checkbox"/> Local community aware of this policy				
<input type="checkbox"/> Funding in place				
<input type="checkbox"/> Policy complies with the Equality Act				
<input type="checkbox"/> Equality Impact Assessment undertaken				
<input type="checkbox"/> Policy referred to the School Handbook				
<input type="checkbox"/> Policy available from the school office				
<input type="checkbox"/> Policy available from the school website				

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<input type="checkbox"/> School Council involved with policy development				
<input type="checkbox"/> All stakeholders take part in questionnaires and surveys				
<input type="checkbox"/> All associated training in place				
<input type="checkbox"/> All outlined procedures complied with				
<input type="checkbox"/> Linked policies in place and up to date				
<input type="checkbox"/> Associated policies in place and up to date				
<b>A statement outlining the overall effectiveness of this policy</b>				