

TEACHER APPRAISAL POLICY AND PROCESS – Reviewed January 2017

The Governing Body of James Brindley School will ensure that the Government’s Appraisal Regulations are implemented in this Academy in accordance with the principles set out in the following policy statement and appraisal process and having regard to the guidance issued by the local authority from time to time.

1 Purpose and commitment

- 1.1 The governing body accepts that the purpose of appraisal is to provide a clear and consistent assessment of the overall performance of teachers, including the Principal, and for supporting their development within the context of the Academy’s plan for improving educational provision and performance and the standards expected of teachers.
- 1.2 The Governors are committed to ensuring high quality and supportive performance appraisal aligned to their aims and objectives for the Academy and linked, where appropriate, to other policies and procedures and their duties under equality legislation.

2 Principles

- 2.1 Appraisal in this Academy should be a supportive and developmental process, designed to ensure that all teachers have the skills and support they need to perform their roles and responsibilities effectively. It should help to ensure that teachers are able to continue to improve their professional practice and development, as well as ensuring salary progression in line with the school’s Pay Policy (Reviewed January 2017). Further, appraisal should be a core part of the Academy’s development and progress and as such, teacher appraisal will be closely linked to and driven by the Academy’s self-evaluation framework and improvement planning and strategy.
- 2.2 Appraisal should be based on the principles of
 - clarity of expectation
 - fairness and reasonableness
 - consistency and balance
 - enablement including supportive development
 - confidentiality
 - monitoring and evaluation
- 2.3 Teachers must know what is expected of them in order to support the Academy’s improvement plan as well as to benefit from the appraisal process in terms of continuing professional development, possible pay progression and development of practice.

- 2.4 The methods of assessment against standards and objectives should be fair, thorough and nondiscriminatory. A variety of methods should be used and discussed with teachers in the school. At James Brindley School, the methods include but are not limited to:
- Pupil progress data
 - Lesson observation and work scrutiny
 - Monitoring and Evaluation including learning walks and focussed drop ins
 - Staff interaction and conduct
 - Judgment against teacher standards and standards for teachers on the Upper Pay Spine
- 2.5 To ensure consistency any teacher to whom the appraisal of other teachers is delegated should be suitably prepared to discharge that responsibility, not only through knowledge of the appraisal regulations and process but also with the appropriate skills and confidence, whether by training within the school or by a suitable external organisation. Appraisers should be qualified teachers with relevant experience and will be offered on-going and collaborative training and moderation to ensure secure judgements and processes.
- 2.6 Consistency and balance should also be achieved by appropriate moderation and monitoring for quality assurance. The Principal should report to the governing body annually on the appraisal process.
- 2.7 An assessment of a teacher's professional development needs and any action which should be taken to address them should be an integral part of the assessment and used to enable teachers to achieve their professional potential.
- 2.8 The records of each teacher's appraisal will be confidential. The use of information from appraisal reports to monitor fairness, inform the planning of professional development, ensure overall quality and report to the governing body should not compromise individual confidentiality.
- 2.9 If it becomes apparent during or at the end of the appraisal period that the teacher's overall performance is below accepted standards the appraiser will discuss the particular case with the Principal who should address the situation at the point that this is brought to their attention as described in the appraisal process, with a thorough assessment of the apparent deficiencies and possible causes (including any personal circumstances) and implement any necessary support. There should be a clear explanation to the teacher of what will happen if the necessary improvement does not take place. A detailed explanation of the mechanism and process is to be found in the revised Capability Process (October 2015)
- 2.10 At the James Brindley School, a clear explanation should include:
- Setting targets and how they will be achieved
 - Sources that will be used to base evidence of assessment and improvement
 - Explanation of the process and timescale which will allow the teacher to focus their attention on the areas described as needing improvement
 - All objectives should be time bounded
 - Methods of assessment should be at all stages relevant and proportionate and based on strong evidence drawn from a balanced variety of sources including, but not limited to:

- Planning and work
- Observation and visits to classrooms
- Assessment data and information from a variety of sources
- Information from internal and external colleagues
- Pupil progression assessment

2.11 There is an expectation that the Academy's appraisal systems and record keeping will be strong enough to provide sufficient valid evidence to support both the appraisal process and any employee improvement plans that come out of this process as recommendations

2.12 From January 2017 a further revised Appraisal Process will be in operation that can be exemplified most clearly by the three areas in which teachers will be assessed. Specific appraisal targets will be set on these three core areas,

1. Pupil progress and attainment – each teacher will work with their line managers and appraiser to ensure everything possible is in place to promote national expected progress and outcomes for all of their pupils. This target is common to all staff and allows for variance in terms of context and cohort, enabling a judgment to be reached on pupil progress and attainment regardless of teaching role.
2. Curriculum – focussed on the main curriculum area in which a teacher operates. This target will be set in conjunction with the Head of the teacher's main curriculum area and should emanate directly from focussed and specific activities and developments highlighted in the current Curriculum development plan which should have a concomitant impact on the progress and attainment of pupils in that curriculum area.
3. Sector – focussed on the main sector in which a teacher works, this target will be directly drawn from the Sector Development Plan and be a key activity or project that will meet the needs of the sector and thus have direct impact on pupil progress and attainment.

In addition, several other aspects will form part of an overall judgement and indeed be used during interim and other data points to assess whether teachers are in need of further professional support or indeed if their practice can be harnessed for the greater good of the school. The weighting of activities to be used to form the judgement is detailed below

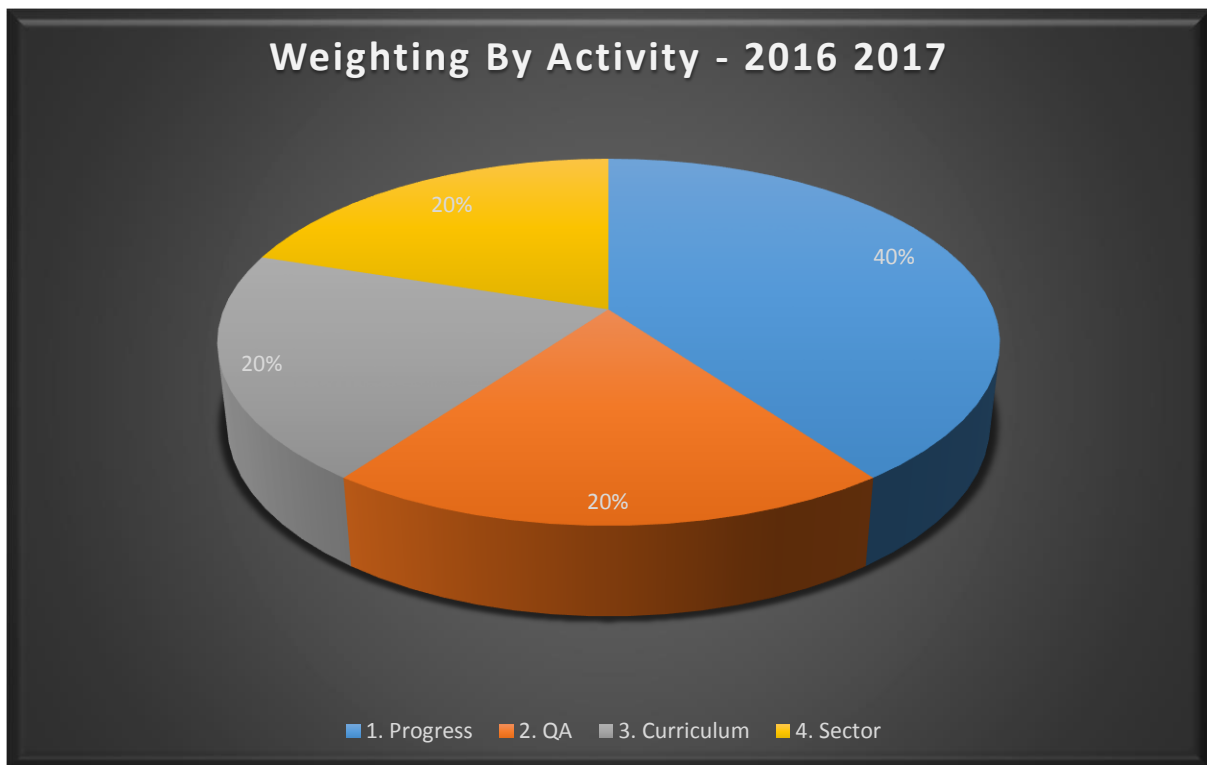
Reviewed January 2017

Following consultation with the whole teaching faculty via an online survey during the Autumn term 2016, several amendments were suggested to improve the procedures and process around Appraisal. The Interim Principal, Vice Principals and Governing Body and relevant committees have been involved in the consultation as have the Union representatives from James Brindley School, who have suggested several changes and challenged where appropriate some of the methodology involved.

The key changes can be summarised as follows,

- A new system linked to the existing QA database is designed and set up enabling all Appraisal documentation and processes to be accessed online, with each member of staff having their own personal access to their own appraisal. This ensures confidentiality around the process, will drastically reduce the workload for appraiser and appraisee alike, reduce the number of documents used and prevent duplication of tasks as well as offering the ability to upload supporting evidence and have a direct link to evidence available within the QA database. This addresses also a key concern from the staff appraisal survey which sought further transparency for staff around the whole process.

- From September 2016, in keeping with the direction set by OFSTED, individual lessons will not be subject to a 'judgement' during lesson observations. Instead, because the core purpose of lesson observations should be around capturing and sharing best practice and identifying where teachers need support, summative comments will be used and recorded on the QA system, using the existing categories from 'Transformational' through to 'Support' to ensure that this vital information informs ongoing work but without the 'judgement' attached to that one off lesson.
- Further, 'judgements' for individual teachers will disappear from Learning Walk and Work Scrutiny activities following consultation with Union representatives. The same methodology as with lesson observations will be followed however, with comments on the work of individual teachers recorded, again to identify areas of expertise to enhance the work of the school and other colleagues or to identify areas for development to be actioned by curriculum or sector leads.



A judgement using a 4 point scale (Progress and QA targets assessed from Transformational through to Support with an associated numerical figure to enable accurate summative calculation of performance) will be made against each of these areas and the totality of performance will then be the result of all of these factors and their associated weighting resulting in the proposed link to PRP (as agreed by Governors October 2015) as below. A calculator will be used (example linked below from this year) to assess how the various assessments of competency result in a final summative judgement of annual performance,

[L:\Appraisals\Appraisal 2016-2017\Appraisal Table 2016 2017 \(Hardip Bissell\).xlsx](L:\Appraisals\Appraisal 2016-2017\Appraisal Table 2016 2017 (Hardip Bissell).xlsx)

MPS

Overall assessment/typicality	Effect on pay
Transformational	2 points increase on MPS
Consistent	1 point increase on MPS
Developing	No increase – informal support needed
Support	No increase – formal support mechanisms

UPS

UPS 1	UPS2	UPS3
Transformational – Progress to UPS2 in 1 year	Transformational – Progress to UPS3 in 1 year	UPS 3 teachers should perform at Transformational or Consistent.
Consistent – Progress to UPS2 over 2 years	Consistent – Progress to UPS3 over 2 years	
Developing – No progress towards UPS2 – additional support will be offered to enhance performance in subsequent cycle.	Developing – No progress towards UPS3 - additional support will be offered to enhance performance in subsequent cycle.	
Support – No progress towards UPS2 - professional and targeted support programme offered in first instance, could lead to capability processes.	Support – No progress towards UPS3 - professional and targeted support programme offered in first instance, could lead to capability processes.	

APPRAISAL PROCESS

The Governing Body has adopted the following process for implementing the Appraisal Regulations in this school.

Publication of the process

- 1.1 The Principal will be responsible for publishing this process to all teachers in the academy, together with the Teachers' Standards and any other standards to be used in accordance with the Appraisal Regulations. The Principal will also be responsible for ensuring that the appraisal process is published to each teacher newly appointed to the academy.

Committee for appraising the Principal

- 1.2 The Governing Body will appoint a committee to appraise the Principal and delegate to this committee the responsibility to appoint an external adviser for the purposes of providing it with advice and support in relation to the appraisal of the Principal. It will expect the committee to choose an advisor who is suitably skilled and experienced, ideally someone who has leadership experience in a school in the same phase but is not personally connected with the Principal.

The appraisal period

- 1.3 The Governing Body has agreed that there will be a common twelve-month appraisal period for teachers in this academy and that it will run from the 31st October to the 31st October each year.

Allocation of appraisers

- 1.4 The Principal will decide to whom to delegate the role of appraiser in respect of each teacher in the school and notify that decision to both the appraiser and the teacher. If a teacher is dissatisfied with the choice of appraiser he or she should explain those concerns to the Principal, who, if he or she considers them to be valid, will appoint an alternative appraiser. If the appraiser is unable to conduct an appraisal (for example, due to sickness), the Principal will appoint an alternative appraiser. In the first instance, the intention will be to try to match appraisers with appraises according to their main subject specialism; in some cases this may not be appropriate given the teacher's role within the school or possible in terms of an appraiser's capacity to support numerous staff, for example in large curriculum groups. In these cases, as with others, appeal to the Principal as described above to request an alternative appraiser will be possible on a case by case basis.
- 1.5 The Principal may make representations to the committee of the governing body if he or she has valid concerns about the choice of external adviser and the committee may then appoint a different adviser.

Preparation

- 1.6 The Principal will ensure that each appraiser is suitably prepared in accordance with the principles set out by the governing body and will ensure that the preparation includes discussion of moderation and quality assurance. The Principal will have an expectation that all teachers understand their own responsibilities in relation to performance and prepare for the Appraisal meeting through self-reflection and evaluation of their own performance and development needs.

Meeting to start the appraisal process

- 1.7 Shortly before or after the start of the appraisal period the designated appraiser will meet with each teacher to consider objectives, the way in which those objectives are to be achieved, assessment criteria, the teacher's professional development needs and how they should be addressed. In this revised process, far greater emphasis is placed on sector and curriculum needs, and the relevant line manager will set these targets in line with their relevant Development Plans, taking into account the individual teacher's skillset, capacity and interests. It is intended that professional development can still be achieved in ensuring all teachers have access to training and information pertinent to their role and targets. The appraiser will inform the teacher of the relevant standards against which the teacher's performance in that appraisal period will be assessed and the objectives which have been set for the teacher in respect of that period. A written statement will be provided including this information and the sources of evidence for assessment. All documentation is available on the academy's electronic database. The appraiser and the teacher will also agree arrangements for professional discussions during the appraisal period which will include a meeting for a review approximately midway through the appraisal process using the appropriate review document and by means of professional conversations and assessment at each data point. The teacher's objectives will be stored on the school network unless the teacher requests otherwise.

Collection of information and evidence

- 1.8 During the appraisal period monitoring through a range of work-related activities will be used to provide balanced information on the teacher's performance. These will include but are not limited to pupil progress data analysis, lesson observations and assessments as well as attendance and behaviour in line with the school's policies on these areas. All of this information will be captured on the revised school QA database, which can be accessed by all appraisers and from 2016-2017 by all teachers for their own appraisal in order to further enhance transparency of process. This will highlight necessary actions and identify areas of improvement or good practice, offering evidence at one end if supportive processes need to begin or to ensure that effective work is captured and shared across the whole school.

Observation

- 1.9 The means of assessment will include arrangements for observation, including the amount of observation, its purpose(s), any particular aspects of the teacher's work to be assessed during observation, its expected timing and duration and who is likely to undertake the observation. Observation will be undertaken by people who have qualified teacher status, are adequately prepared and have the appropriate professional skills. It should be explained that if at any point during the appraisal cycle it is considered that the teacher needs or the teacher seeks extra support, additional observation may be arranged. The teacher will be notified of an observation in advance, although short visits to classrooms will not be specifically notified. From 2016-2017 lesson observations will not have attached a 'judgement' around the teacher's performance in that lesson. Rather, in keeping with whole school approaches to pupil assessment, the focus will be on identifying 'www' and 'ebi' with comments (not judgements) made on the Lesson Observation form and assigned to levels of performance – from Transformational through to Support.

- 1.10 At James Brindley School there is no limit to observations that can take place, however, justification for more than three observations in a single academic year should be formally advised to any teacher alongside the requirement of extending observations and the supporting information which has led to this decision. At all times, observations should be seen as a method for enabling continued improvement, monitoring and evaluation to enable support for staff and excellence to the delivery of teaching. From 2016–2017 teachers will either have two or three observations over the calendar year, dependent on the feedback from the first observation. The criteria for this are set out in Appendix 1.
- 1.11 Observers will allow time to consider the observation and arrange a meeting with the teacher to provide and discuss the written feedback within 5 working days of the observation taking place. Given the majority of reports are now completed directly on the online QA database and the link between an appraiser’s dashboard and the QA database, this feedback should now be available immediately the observation is completed by the observer. The teacher will be given the opportunity to add written comments to this report. The Principal may at that stage ask to see, for moderation purposes, the information given to each teacher and the evidence used for the observation assessment. In addition, professional courtesy should dictate that there is, at minimum, brief verbal feedback following an observation detailing salient points and, where necessary, opportunities on both sides for clarification and comment ahead of any ‘formal’ feedback and development points.

Revision meeting

- 1.12 If appropriate a ‘revision meeting’ can be requested by the appraiser or the teacher and, if appropriate, objectives can be changed or adjusted.

Preparation of the appraisal report

- 1.13a Following each of the six data points throughout the year, a brief meeting or data exchange via email should take place between appraiser and appraisee, focussing particularly on progress data and projections towards Target 1 – Attainment and Progress. This will enable on on-going conversation, quality assurance and where necessary interventions to be put in place to support the teacher in reaching this target. These will be recorded in brief on the appropriate documentation.
- 1.13b An interim meeting must take place in the first half term of the Spring term. This meeting should be face to face and should focus on the three specific appraisal targets and should be evidenced on the appropriate paperwork will specific reference to the progress towards the targets – including the on-going analysis of data for Target 1 but also to ensure that the remaining two targets – Curriculum and Sector based – are progressing and identifying any support required around these. Timescales and reporting will be as per the Appraisal Cycle document. In addition, it will be important to have a termly record of progress towards each target in order that current performance is ascertained and areas for support and development identified. This record will be kept both by appraiser and appraisee and form the basis both of ongoing work and indeed towards forming a final assessment of performance.

- 1.13 At the end of the appraisal period the appraiser will meet with the teacher to prepare the appraisal report. This meeting will take place in the first half term of the Autumn term to allow good time for both the paperwork, assessment and moderation to be completed.
- 1.14 The appraiser will give the teacher the appraisal report. The teacher may add comments. If there are no objections to the report the appraiser will forward it to the Principal who will moderate the report and consider any recommendations for professional development and pay. This will be linked to the published revised PRP policy ratified by Governors. It should be clear from both the interim meetings, annual schedule of Quality Assurance through Learning Walks and Book Scrutinies (schedule to be published Autumn term) and data analysis at all stages throughout the year how teachers are performing both against these standards and indeed the statutory Teachers Standards document and the expectations for Upper Pay Scale teachers.

Review of appraisal report

- 1.15 If the teacher is dissatisfied with any aspect of the appraisal report that teacher should discuss the objection(s) with the appraiser. If that discussion does not resolve the objections the teacher may submit a written request to the Principal to review the appraisal report. In cases when the Principal is the appraiser the teacher may submit a written request to the clerk to the governing body for the appropriate committee (depending on the governing body's delegations) to review the appraisal report.
- 1.16 If the Principal has any concerns about the appraisal report he or she will discuss it with the appraiser in the first instance. The Principal will then decide whether any action is needed about the quality of the report or the performance of the teacher.

Performance below acceptable standards

- 1.17 If it becomes apparent during or at the end of the appraisal period that the teacher's overall performance is below acceptable standards the Principal or a member of the senior leadership team will meet with the teacher to discuss the nature and level of the concerns. The Principal will then confirm the content of the discussion in writing and give the teacher the opportunity to reflect on it before another meeting, arranged with appropriate notice, to determine what increased support will be given to the teacher, the kind of improvement required, the period within which the improvement should take place, how improvement will be assessed and when the situation will be reviewed within an agreed time scale. The Principal will explain to the teacher what is likely to happen if the required improvement is not achieved which could include the possibility of moving to formal capability processes. A written record of this meeting will also be given to the teacher.
- 1.17b As referenced above, any significant concerns and an overall appraisal assessment of a teacher's performance that results in an overall grading of 'Support Required' will trigger a meeting with appropriate line managers to identify areas for improvement and implement a programme of support to ensure improved performance through the next appraisal cycle. Should the recommended and agreed actions prove ineffective in terms of enabling staff development in the first term of the subsequent year, again both against appraisal targets but also Teacher Standards/UPS expectations, it may prove necessary to commence capability proceedings as per the published policy.

Confidential storage

- 1.18 Once appropriate actions have been taken on professional development and pay the Principal will arrange for confidential storage of the report for a period of six years.

Principal's report to governing body

- 1.19 The Principal will use the information in the appraisal reports, with due regard to confidentiality, to prepare the annual report on appraisal for the governing body.