

Ormiston Academies Trust

## Ormiston SWB Academy

### Managing Teacher Performance - Appraisal

#### Policy version control

Policy type	Statutory	
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In consultation with	ASCL, ATL, GMB, NAHT, NASUWT, NUT, Unison & Unite	
Approved by	Carmel Brown – August 2018	
Release date	September 2018	
Next release date	September 2019	
Description of changes	None	
Adoption of this policy:	Academies transferring to OAT after 01/09/2014	Academies are required to adopt OAT policies except where the former policy is contractual and specifically protected under the terms of the TUPE transfer.  Academies are required to inform staff that this policy has been adopted and fully consulted with unions at national level prior to release.
	Academies that transferred before 01/09/2014	Can choose to consult locally and adopt.  In these situations, the Principal should issue the policy to all staff and academy representatives for consultation over a calendar month. The district union offices should be copied in.  Once adopted, any further changes consulted with the JCC will follow the process of <i>informing</i> not consulting.

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### Glossary:

This procedure applies to academy based teachers. Unless otherwise indicated the following terms are interchangeable:

- **Teacher** – applies to qualified teachers
- **Principal** – applies to principal or line manager
- **Governors** – applies to members of the academy’s governing body
- **Appeal governors** – applies to members of the academy’s governing body

## 1.0 Introduction

1.1 This procedure has been adopted by the governing body of Ormiston SWB Academy on September 2018 for the purposes of managing appraisals of teachers.

## 2.0 Purpose

2.1 The purpose of this procedure is to provide a framework for the clear and consistent assessment of the overall performance of teachers, including the principal. It is intended to support the development and aspirations of teachers within the academy's plan for improving educational provision. Appraisal in this school will be a supportive and developmental process designed to ensure that all Teachers have the skills and support they need to carry out their role effectively. It will help to ensure that Teachers are able to continue to improve their professional practice and to develop as Teachers.

2.2 This policy is not intended to address issues of willful under-performance; these cases should be addressed using the disciplinary procedure, nor should it be applied to cases of unsatisfactory performance which would be dealt with under the capability policy, In the case of unsatisfactory performance due to absence the absence management policy would apply

2.3 This policy applies to all teachers employed by the academy, except those on contracts of less than one term, those undergoing induction (i.e. NQTs) and those who are subject to the capability procedure.

2.4 The Teachers' Standards referred to in this policy apply only to qualified teachers, or unqualified teachers on teacher's terms and conditions for specialist teachers, where separate standards exist, these can also be applied.

## 3.0 Principles

3.1 Principal performance will be appraised/addressed using a separate Principals Performance Management process by the OAT Regional Director and the chair of governors.

3.2 Appraisal is a supportive process which is used to inform continuing professional development and it is intended to foster professional dialogue between colleagues. The academy wishes to encourage a culture in which all teachers take responsibility for improving their teaching through appropriate professional development. The academy aims, where possible, to support teachers to achieve their professional aspirations as identified through the appraisal process.

3.3 Professional development will be linked to academy improvement priorities and to the ongoing professional development needs and priorities of individual teachers.

3.4 The Teachers' Standards apply to all teachers and will be used to inform the setting of objectives. Please see Appendix I.

3.5 Appraisal reports are confidential and access to them will usually be limited to the appraisee, the appraiser, the principal and / or nominated member of the senior management team. In some circumstances nominated members of the governing body may require access to an appraisal report either for quality assurance purposes or to inform decision meetings if the appraisee is subject to capability proceedings. In such circumstances the appraisee will be made aware that the documents are being shared and for what purpose.

3.6 Information in the appraisal report relating to continuous professional development will be shared with the academy's CPD coordinator in order that arrangements can be made to support CPD.

3.7 Where possible, resources will be made available to support development where it is relevant to the academy's plan for improving educational provision.

### Consistency of Treatment and Fairness, Equality

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

### 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.

## 4.0 Appraisal procedure

Appraisal is a supportive and developmental process designed to ensure that all teachers have the skills and support they need to carry out their role effectively. The process will help to ensure that teachers are aware of the Teachers' Standards and expectations of them and enable them to continue to improve their professional practice and to develop as teachers through a developmental and supportive process designed to foster professional dialogue between colleagues.

### The appraisal period

4.1. The appraisal period will run for a period of twelve months from 1st September to 31st August.

4.2. Teachers will be required to complete the majority of the self-assessment, against national standards and at the appropriate career stage, by the end of the summer term in preparation for the next appraisal period (see 6.1).

4.3. Teachers who are employed on a fixed term contract of less than one year will have their performance appraised in accordance with the principles underpinning this policy. The appraisal period will be determined by the duration of their contract.

## 5.0 Appraisers

5.1 In conducting appraisals either the principal will be the appraiser for all teachers in academy or the role will be delegated to relevant line Managers who are qualified teachers. Where the role is delegated the nominated appraiser will conduct the whole of the appraisal process, including pay recommendations for those who are eligible. Should a member of staff have a particular objection to the nominated appraiser then they should discuss the matter with the Principal/Governor. Any such objection will be carefully considered and where possible an alternative appraiser offered

5.2 The principal has ultimate responsibility for ensuring that the appraisal process is conducted in a fair and consistent manner, this applies both where the principal is the appraiser and when the role is delegated. The principal may however delegate the operational responsibility for monitoring consistency to a member of the senior leadership team.

5.3 In preparation for the appraisal discussion the appraiser should complete an individual assessment of the teacher's performance using the template in appendix 1 and gather appropriate evidence to support their judgments, examples of sources of evidence can be found in appendix 2.

## 6.0 Self-Assessment

6.1 The Self-Assessment form can be found in appendix 1.

6.2 Following the self-assessment, teachers should gather relevant documentation or examples which support their opinions in order to inform the appraisal discussion.

6.3 The completed self-assessment will then be shared with the appraiser in order to contribute to the appraisal discussion and inform the objective setting during the appraisal review.

6.4 Teachers should use the self-assessment tool to identify where they may wish to request support or development and also areas where they feel they are performing above the required standards. This will help to identify career aspirations and how they can be supported to develop towards these.

## 7.0 Commencing the appraisal Process

7.1 Either before or as soon as practicable after the start of the appraisal period, the appraiser and appraisee should meet for the appraisal discussion. This meeting provides an opportunity for the appraiser and teacher to consider the self-assessment and suitable supporting evidence, and allows the appraiser to present their assessment of the teacher's performance to date and to set objectives for the appraisal period.

7.2 The objectives set for each teacher will be linked to the national standards and academy plan for improving educational provision. Objectives will be Specific, Measurable, Achievable, Realistic and Time-bound (SMART) and will be appropriate to the teacher's role and level of experience. The appraiser and teacher will seek to agree the objectives but, if that is not possible, the appraiser will determine the objectives and a note made that they were not agreed. Where exceptional circumstances arise objectives may be revised.

7.3 There will be no set number of objectives; objectives should allow for challenge and progression of the teacher but should be achievable within the timescales provided. OAT recommend 3 objectives for teachers and 4 for SLT or teachers receiving a TLR. However ultimately this is at the discretion of the Principal.

7.4 In determining objectives consideration should be given to the workload implications to both the appraiser and appraisee. Where a teacher is found not to be meeting appropriate standards it may be necessary to set them additional objectives to ensure that the most appropriate support can be provided.

## 8.0 Assessing performance

8.1. For each appraisal period, teacher's performance will be formally assessed using the measures identified on the appraisal evaluation form.

8.2. 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 by means of:

- Lesson observations
- Peer observation
- Planning and work scrutiny
- Regular meetings with line manager
- Observation/scrutiny of leadership and management activities where appropriate
- Other feedback obtained during the cycle relevant to the teachers overall performance

8.3. All assessments will be carried out in a professional and supportive manner. The observer will evaluate objectively, and report accurately, the findings of the observation.

8.4. Teachers' performance will be regularly observed but the amount and type of classroom observation will depend on the individual circumstances of the teacher and the overall needs of the academy.

8.5. Classroom observation can only be carried out by those with QTS.

8.6. In addition to announced observations, principals or other senior leaders or line managers may “drop in” in order to monitor that high standards of professional performance are present and maintained. The length and frequency of “drop in” observations will vary depending on specific circumstances but should be proportionate in their use. Drop ins and monitoring visits that identify concerns should be addressed in a supportive manner at that time.

8.7. Appraisees who have responsibilities outside the classroom should also expect to have their performance of those responsibilities observed and assessed in an appropriate way; this will be discussed and determined at the appraisal discussion.

8.8. Teachers will receive constructive feedback on their performance as soon as practicable after observation has taken place or other evidence has come to light. In discussion with the teacher particular areas of strength as well as any areas requiring improvement will inform any appropriate action.

## 9. Requesting to move to the Upper Pay Range

9.1 Any qualified teacher may apply to be paid on the upper pay range and any such request must be assessed in line with this policy. It is the responsibility of the teacher to decide whether or not they wish to request to be paid on the upper pay range.

9.2 Requests may be made once a year. (Insert information about request deadlines (e.g. start/end Academic year or terms – or an alternative deadline), applying particular attention to ensuring every teacher is treated fairly).

9.3 If a teacher is simultaneously employed at another school/academy(s), they may submit separate requests if they wish to apply to be paid on the upper pay range in that academy or academies. This academy will not be bound by any pay decision made by another school/academy.

9.4 All requests should include the results of reviews or appraisals under the 2011 or 2012 regulations, including any recommendation on pay (or, where that information is not applicable or available, a statement and summary of evidence to demonstrate that the applicant has met the assessment criteria). Requests should contain evidence from (insert the period of time that evidence should cover, ensuring that teachers who have had breaks in service are treated equitably. Please apply using the Upper Pay Range Request form found at Appendix 5 of the OAT Pay Policy.

## The Assessment

A request from a qualified teacher will be successful where the Governing Body is satisfied that:

- a) The teacher is highly competent in all elements of the relevant standards; and
- b) The teacher's achievements and contribution are substantial and sustained.

For the purposes of this pay policy some examples might be;

- 'highly competent' means [insert agreed definition];

(e.g. performance which is not only good but also good enough to provide coaching and mentoring to other teachers, give advice to them and demonstrate to them effective teaching practice and how to make a wider contribution to the work of the academy, in order to help them meet the relevant standards and develop their teaching practice)

- 'substantial' means [insert agreed definition]

(e.g. of real importance, validity or value to the academy; play a critical role in the life of the academy; provide a role model for teaching and learning; make a distinctive contribution to the raising of pupil standards; take advantage of appropriate opportunities for professional development and use the outcomes effectively to improve pupils' learning); and

- 'sustained' means [insert agreed definition]

(e.g. maintained continuously over a long period e.g. X number of academy year(s)).

## 9. Appraisal Review Feedback

9.1. As soon as practicable following the appraisal review the teacher will receive and have the opportunity to comment in writing on a written appraisal report.

The appraisal report will include:

- details of the teacher's objectives for the appraisal period in question;
- an assessment of the teacher's performance against their objectives and the teacher national standards at a level appropriate to their career stage;
- an assessment of the teacher's professional development needs and identification of any action that should be taken to meet them;

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

9.3. Any recommendations on pay e.g. threshold decisions will be referred to the principal before being referred to the governing body, the Governing body receive the recommendations in an anonymised format.

9.4. Any appeal regarding determination of pay as a result of this procedure will be handled using the appeals process as detailed in the academy's pay policy.

## 10.0 Concerns about performance

10.1. If at any point during the appraisal cycle evidence emerges which highlights concerns regarding a teacher's performance the appraiser will arrange a meeting with the teacher to discuss the concerns. The format for this meeting can be found in appendix 3.

10.2. At this meeting the appraiser and teacher will seek to agree a period for improvement and support, if agreement is not possible the appraiser will determine this and a note will be made that agreement was not possible. The length of this period should be proportionate to the required improvements but should not exceed six weeks.

10.3. During this period all agreed support should be provided to ensure that the teacher is afforded the best opportunity to improve performance.

10.4. Following the agreed review period a review meeting will be held to evaluate the review period and progress made. This meeting should follow the format detailed in appendix 4. There are three possible outcomes to this review:

- a) If the appraiser is satisfied that the teacher 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.
- b) If the appraiser identifies improvement has been made but that there is still further progress required, a further review period may be agreed as part of this process.
- c) If the appraiser is not satisfied with the level of progress made, the teacher will be notified in writing that their performance will now be managed under the capability procedure rather than appraisal. This will trigger the commencement of the formal capability procedure.



## Appendices

[Appendix 1](#) - Self assessment/appraisal evaluation form

[Appendix 2](#) – Examples: Sources of evidence to be used in appraisal process

[Appendix 3](#) – Guidance note: Conducting meeting where performance concerns are identified through appraisal process

[Appendix 4](#) – Guidance note: Conducting a review meeting where performance concerns have been identified through the appraisal process

[Appendix 5](#) – Useful Links

## Appendix I

### Self-assessment/appraisal evaluation form

Name:

Pay Point:

Date:

Self/Academy assessment:

## I. Professional practice outcomes

### Relevant standards

- Establish a safe and stimulating environment for pupils, rooted in mutual respect.
- Set goals that stretch and challenge pupils of all backgrounds, abilities and dispositions
- Demonstrate consistently the positive attitudes, values and behaviour which are expected
- Be accountable for pupils' attainment, progress and outcomes.
- Be aware of pupils' capabilities and their prior knowledge, and plan teaching to build on these.
- Guide pupils to reflect on the progress they have made and their emerging needs.
- Demonstrate knowledge and understanding of how pupils learn and how this impacts on teaching.
- Encourage pupils to take a responsible and conscientious attitude to their own work and study.
- Have a secure knowledge of the relevant subject(s) and curriculum areas, foster and maintain pupils' interest in the subject, and address misunderstandings.
- 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.
- If teaching early reading, demonstrate a clear understanding of systematic synthetic phonics.
- If teaching early mathematics, demonstrate a clear understanding of appropriate teaching strategies.
- Impart knowledge and develop understanding through effective use of lesson time.
- Promote a love of learning and children's intellectual curiosity.
- Set homework and plan other cut-of –class activities to consolidate and extend the knowledge and understanding pupils have acquired.
- Know when and how to differentiate appropriately, using approaches which enable pupils to be taught effectively.
- Have a secure understanding of how a range of factors can inhibit pupils ability to learn, and how best to overcome these.
- 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.
- Have a clear understanding of the needs of all pupils, including those with special educational needs; those of 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.
- Know and understand how to assess to relevant subject and curriculum areas, including statutory assessment requirements.
- Make use of formative and summative assessment to secure pupils progress.
- Use relevant data monitor progress, set targets, and plan subsequent lessons.
- Give pupils regular feedback, both orally and through accurate marking, and encourage pupils to respond to the feedback.
- Have clear rules and routines for behaviour in classrooms, and take responsibility for promoting good and courteous behaviour both in classrooms and around the academy, in accordance with the academy's behaviour policy.
- Have high expectations of behaviour, and establish a framework for discipline with a range of strategies, using praise, sanctions and rewards consistently and fairly.
- Manage classes effectively, using approaches which are appropriate to pupils need in order to involve and motivate them.

- Deploy support staff effectively.

### Measures

- Lesson observations
- Pupil progress data
- Work scrutiny
- Planning

### Career expectation for standard

Professional Area	Teacher Main Range Points 1-2	Established Teacher Main Range Points 3-4	Accomplished Teacher Main Range Points 5-6	UPS1 and 2	UPS 3
Professional Practice	Typically, most teaching is good or outstanding	Typically, almost all teaching is good or outstanding	Typically, all teaching is good or outstanding	Typically, most teaching is outstanding	Typically, all teaching is outstanding
Professional outcomes *	Most students achieve in line with Academy expectations	Almost all students achieve in line with Academy expectations	Almost all students achieve in line with Academy expectations; some exceed them	Almost all students achieve in line with Academy expectations; many exceed them	Almost all students achieve in line with Academy expectations; many exceed them

## Appendix I

### Professional relationships

#### Relevant standards

- Establish a safe and stimulating environment for pupils, rooted in mutual respect.
- Demonstrate consistently the positive attitudes, values and behaviour which are expected of pupils.
- Maintain good relationships with pupils, exercise appropriate authority, and act decisively when necessary.
- Develop effective professional relationships with colleagues, knowing how and when to draw on advice and specialist support.
- Deploy support staff effectively.
- Communicate effectively with parents with regard to pupils' achievements and well-being.

#### Measures

- Code of conduct
- Lesson observations
- Professional feedback

#### Career expectation for standard

<i>Professional Area</i>	<i>Teacher</i> <i>Main Range Points 1-2</i>	<i>Established Teacher</i> <i>Main Range Points 3-4</i>	<i>Accomplished Teacher</i> <i>Main Range Points 5-6</i>	<i>UPS 1 and 2</i>	<i>UPS 3</i>
<i>Professional Relationships</i>	Positive working relationships with students, colleagues and parents.	These relationships are securely focused on improving provision for students.	Professional relationships with students, colleagues and staff lead to excellent classroom provision.	Plays a visible & proactive role in building key stage or departmental teams to improve provision and outcomes.	Plays a highly visible, proactive role in building school-wide teams to improve provision and impact on outcomes.

# Appendix I

## Professional development

### Relevant standards

- Demonstrate a critical understanding of developments in the subject and curriculum areas, and promote the value of scholarship.
- Reflect systematically on the effectiveness of lessons and approaches to teaching.
- Contribute to the design and provision of an engaging curriculum within the relevant subject area (s).
- Take responsibility for improving teaching through appropriate professional development, responding to advice and feedback from colleagues.

### Measures

- CPD records and feedback
- Action, impact and evaluation records
- Response to lesson observation feedback

### Career expectation for standard

<i>Professional Area</i>	<i>Teacher Main Range Points 1-2</i>	<i>Established Teacher Main Range Points 3-4</i>	<i>Accomplished Teacher Main Range Points 5-6</i>	<i>UPS1 and 2</i>	<i>UPS 3</i>
<i>Professional development</i>	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	Fully competent practitioner able to keep up to date with changes and adapt practice accordingly	Plays a visible & proactive role in leading the professional development of key stage or departmental colleagues	Plays a highly visible & proactive role in leading the professional development of colleagues across the Academy

## 4. Professional Conduct

### Relevant standards

- Teachers uphold public trust in the profession and maintain high standards of ethics and behavior, within and outside the academy, by: treating pupils with dignity; building relationships rooted in mutual respect and at all times observing proper boundaries appropriate to a teachers professional position; having regard for the need to safeguard pupils well-being, in accordance with statutory provisions; Showing tolerance of and respect for the rights of others; 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; ensuring that personal beliefs are not expressed in ways which exploit pupils vulnerability or might lead them to break the law.
- Teachers must have proper professional regard for the ethos policies and practices of the academy in which they teach, and maintain high standards in their own attendance and punctuality.
- Teachers must have an understanding of, and always act within, the statutory frameworks which set out their professional duties and responsibilities.

### Measures

- Maintain code of conduct
- Formal disciplinary/ grievance

Career expectation standards for guidance. Not to be used in isolation as check list.

<i>Professional Area</i>	<i>Teacher</i> <i>Main Range Points 1-2</i>	<i>Established Teacher</i> <i>Main Range Points 3-4</i>	<i>Accomplished Teacher</i> <i>Main Range Points 5-6</i>	<i>UPS1 and 2</i>	<i>UPS 3</i>
Meets all the teacher standards. Meets all appraisal objectives	Meets all the teacher standards. Meets all appraisal objectives	Meets all the teacher standards. Meets all appraisal objectives	Meets all the teacher standards. Meets all appraisal objectives	Meets all the teacher standards. Meets all appraisal objectives	Meets all the teacher standards. Meets all appraisal objectives

Self-Assessment

1.

2.

3.

4.

Appraisers Dialogue

1.

2.

3.

4.

## Appendix 2

Examples: Sources of evidence to be used in appraisal process

- Lesson observations – Organised and “drop in”.
- Pupil progress data
- Book scan/work scrutiny
- Planning documentation
- Professional feedback
- Evidence from extracurricular activities
- Observation/scrutiny of leadership and management activities where appropriate



## Appendix 3

Guidance note: Conducting meeting where performance concerns are identified through appraisal process

- Advise the member of staff that this meeting is held as part of the appraisal process.
- Ensure the member of staff is provided with a copy of this policy.
- Reinforce things the staff member does well.
- Highlight clearly the specific areas of performance that are causing concern, and discuss the evidence of this (this should include evidence from appraisal process).
- Ensure the member of staff has the opportunity to respond, provide reasons/explanation etc. for the performance shortfall.
- Ask the staff member if there are any underlying issues that may impact on performance, e.g. health, issues outside work etc.
- With areas of concern agree SMART targets that the teacher should work towards, agree what support the teacher feels would be beneficial and how performance will be monitored.
- A review period should be set and interim review meeting agreed within this period. The length of this review period will be proportionate to the required improvements however it should not exceed six weeks.
- Offer a mentor if appropriate (NB: this should be someone not involved in monitoring the staff member's performance).
- Advise the staff member that if performance doesn't meet the required standards within the review period it may result in concerns being addressed under the capability procedure.
- Encourage the staff member to consult with their trade union for further support.

## Appendix 4

Guidance note: Conducting a review meeting where performance concerns have been identified through the appraisal process

- Advise the staff member that this meeting is a review meeting held as part of the appraisal process.
- The appraiser should present evidence regarding the staff member's performance against the targets specified in the initial meeting.
- The staff member should be asked for their opinion regarding their performance against the targets.
- The staff member should be asked for their opinion on the support provided to date.
- The principal should adjourn the meeting at this point to consider the evidence.
- If the teacher 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.
- If the appraiser is not satisfied with the level of progress made, the teacher will be notified in writing that their performance will now be managed under the capability procedure rather than appraisal. This will trigger the commencement of formal capability procedure.

## Appendix 5

### Useful Links

#### *STPCD 2017*

[https://www.gov.uk/government/uploads/system/uploads/attachment\\_data/file/636389/School\\_teachers\\_\\_pay\\_and\\_conditions\\_document\\_2017.pdf](https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/636389/School_teachers__pay_and_conditions_document_2017.pdf)

#### *STPCD 2017 - Teachers Standards*

[https://www.gov.uk/government/uploads/system/uploads/attachment\\_data/file/283566/Teachers\\_standard\\_information.pdf](https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/283566/Teachers_standard_information.pdf)

#### *OFSTED School Inspection Handbook October 2017*

[https://www.gov.uk/government/uploads/system/uploads/attachment\\_data/file/651801/School\\_inspection\\_handbook\\_section\\_5.pdf](https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/651801/School_inspection_handbook_section_5.pdf)