



# Teacher Appraisal and Pay Policy

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BEDFORD BOROUGH COUNCIL

# Teacher Appraisal and Pay

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# TEACHER APPRAISAL AND PAY

## 1. INTRODUCTION

- 1.1. This guidance should be read alongside the Education (School Teacher Appraisal) Regulations 2012 which specify how the revised appraisal arrangements must operate. Nothing within these guidelines can override the statutory provisions. The Regulations do not cover school support staff but the principles with regard to appraisal for school support staff are similar and are set out at Chapter 3, Section 2 of the Schools Personnel Handbook.
- 1.2. The intention of the revised appraisal guidelines is to develop a culture where teachers and head teachers feel confident and empowered to participate fully in appraisal; the acknowledgement of teachers' and head teachers' professional responsibility to be engaged in effective, sustained and relevant professional development throughout their careers and to contribute to the professional development of others; and the creation of a contractual entitlement for teachers to effective, sustained and relevant professional development as part of a wider review of teachers professional duties. It is for schools to ensure that the individual arrangements for appraisal are managed effectively, transparently, fairly and are applied consistently.
- 1.3. Appraisal is the process for assessing the overall performance of a teacher or head teacher, in the context of the individual's job description and the provisions of the School Teachers' Pay and Conditions Document (the Document) and making plans for the individual's future development in the context of the school's improvement plan. From September 2014 the progression of teachers on the various salary scales set out in the School Teachers' Pay and Conditions Document will be subject to satisfactory appraisal and performance management outcomes. In this context, it is important that schools have published their appraisal policy following a period of consultation with the staff.
- 1.4. Professional standards provide the backdrop to discussions about performance and future development. The standards define the professional attributes, knowledge, understanding and skills for teachers at each career stage. All teachers must be assessed against the set of standards contained in the document "Teachers Standards" published by the DfE in May 2012.
- 1.5. The information and data that schools collect through appraisal should be capable of being used in a number of different ways, for example, for school self evaluation and school improvement and development planning. Schools should use the data collected through appraisal to inform other processes. This will have the effect of helping to minimise workload. Appraisal is more likely to result in the achievement of school aims and objectives where there is appropriate emphasis on personal and professional development of individual members of staff. In practical terms this is likely to mean the inclusion of personal objectives when targets are set and for CPD to focus on personal and professional improvement.
- 1.6. An appraisal policy for teaching staff is attached to this guidance. The capability policy for school-based staff is at Chapter 4, Section 2 of the Personnel Handbook.

## 2. ROLES AND RESPONSIBILITIES

2.1. Governors, head teachers and teachers all have key roles to play and responsibilities to discharge in the appraisal process. The main roles and responsibilities for each group are summarised at: -

- Governors – Annex 1
- Head teachers – Annex 2
- Teachers – Annex 3

## 3. THE APPRAISAL POLICY

3.1. Governing bodies should establish pay and appraisal policies which: -

- Set out the basis on which teachers' pay will be determined.
- Describe how the appraisal arrangements will work
- A classroom observation protocol; and
- State the procedures for dealing with appeals.

3.2. Governing bodies should consult staff **and** seek to agree the pay and appraisal policies and any revisions to them with recognised trade unions. Policies should be reviewed each year or when other changes occur to the Document and/or the accompanying statutory guidance. This should ensure fair and equitable treatment for all teachers and minimise the prospect of disputes and challenges to pay decisions. If, after due consultation, consensus is not fully achieved the governing body has the final say. The Borough Council has recommended model appraisal policies for teachers (Chapter 3, Section 3) and school support staff (Chapter 3, Section 2). A model pay policy for teachers is at Appendix J of Chapter 3, Section 1 of the Personnel Handbook. For school support staff the model pay policy is at Chapter 3, Section 2, Appendix E.

3.3. The appraisal policy, in line with all human resource policies, must comply with the requirements of discrimination legislation. The appraisal policy should, therefore, make clear its compliance with that legislation and how the policy will address issues of equal opportunities. Appraisers will need to consider their actions within the review process and whether any action might be deemed to be either directly or indirectly discriminatory under the provision of the relevant legal frameworks.

3.4. The appraisal policy should also set out the timing of the performance review cycle. The statutory guidance in the School Teachers' Pay and Conditions Document provides for schools to have a calendar of events and directed time activities for the academic year. The calendar should make clear the timelines for performance management. This calendar should be made available to all teachers and provide for equality of access.

## 4. APPRAISERS OF HEAD TEACHERS

4.1. The governing body should appoint two or three members of the governing body as appraisers for the head teacher and ensure they receive appropriate preparation for their role. The governing body should seek to secure a balanced representation of appraisers taking account of factors such as gender, ethnicity and age. The governing body should seek to appoint appraisers who have the knowledge and

experience to carry out this role and who together reflect the profile of the governing body. Persons appointed as appraisers should not have any personal or pecuniary interest. Governors who are members of the school staff cannot be appointed as appraisers for the head teacher.

4.2. Governing bodies are required to take external advice on the appraisal of head teachers. The governing body must appoint a suitably skilled and experienced external adviser to support the appraisal of the head teacher. The external adviser should be able to give high quality advice to governing bodies about: -

- The progress of the head teacher with regard to achievement of previous appraisal objectives set by the governing body;
- Suitable objectives for governors to agree with the head teacher for the next review cycle; and
- how the school's appraisal systems are contributing to raising attainment, achievement and pupil's wider wellbeing.

4.3. There is no longer a time limit on how long an individual can act as an external adviser for an individual school and where schools need to appoint an external adviser the governing body should adopt a process of selection that is open, transparent, relevant and appropriate.

## 5. **APPRAISERS**

5.1. The head teacher may be the reviewer for other teachers, including members of the leadership group and lead practitioners or may delegate this role in its entirety.

5.2. The line manager should be the best placed employee to undertake the reviewer functions. This is consistent with a distributive approach to school leadership and the recognition of these responsibilities through the revised staffing structures considered by governing bodies in the Autumn of 2005. This will be consistent with need to have regard to teachers' worklife balance. Schools may want to consider whether to dedicate all or part of one of the five teacher training days for a whole school briefing on the revised arrangements in accordance with the school's appraisal policy. It may be necessary for schools to consider their responsibility structures in the light of the demands made on those appointed as appraisers.

5.3. If, in exceptional circumstances and for professional reasons, the appraisee wishes to request a change of appraiser where this role has been delegated they may ask the head teacher to appoint an alternative appraiser of comparable or higher status in the staffing structure than the original appraiser. Any such request from an appraisee should be made in writing and state the reason for requesting a change. A head teacher requesting alternative appraisers should send a written request to the chair of governors who will consider whether to accept the request. Where an appraisee's request for change is not accepted the reasons for this should be explained in writing and appended to the planning and review statement together with the appraisee's request.

5.4. Head teachers should provide the governing body with a written report every year on the operation of the school's appraisal policy, the effectiveness of the school's appraisal procedures and teachers' training and development needs. As part of this annual monitoring and reporting process governing bodies should examine the equal opportunities implications at each stage of the process.

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## 6. THE APPRAISAL PROCESS

- 6.1. The description of the process that follows begins with the planning process. Planning and reviewing performance would normally take place in a single meeting and the outcomes of the meeting in relation to planning for the next cycle and the outcome of the review of the previous cycle would be recorded in a single planning and review statement.
- 6.2. The appraiser and appraisee should schedule planning and review meetings as far in advance as possible. The appraiser and appraisee should confirm that the scheduled meeting is taking place as planned at least five working days in advance. If the review meeting cannot take place as planned a new date and time should be scheduled with at least five working days notice.
- 6.3. The appraiser and appraisee should ensure they set aside sufficient directed time for the meeting. An hour should be sufficient in most cases. **Lunch breaks and PPA time must not be used for this purpose.** Some schools may wish to consider whether one or more of the teacher days could be scheduled at appropriate points in the cycle for planning and review meetings.

## 7. PREPARING FOR THE PLANNING AND REVIEW MEETING

- 7.1. The planning and review meeting should be a professional dialogue between the appraiser and the appraisee. Appraisees should play an active part in the meeting making sure they put forward their views about their performance and future development. At Annex 4 there are issues which the appraisee may wish to consider in thinking about the last appraisal cycle and in preparing for the next cycle. The points are for reflection and there is no requirement for appraisees to provide a written input on their reflections as part of the appraisal process.
- 7.2. Similarly, appraisers will want to be well prepared for the planning and review meeting and may find it helpful to visit the checklist at Annex 5 where issues arising from the last cycle and items to consider in preparing for the next cycle are set out.
- 7.3. Where the appraisee works for more than one line manager, the appraiser should consult other line managers in advance of the planning and review meeting about the issues to be explored in the next cycle.

## 8. PLANNING THE NEXT CYCLE

- 8.1. **The appraiser should start from the assumption that the appraisee is meeting the requirements of the job description, the relevant duties and the relevant professional standards.** There is no need for every aspect of the appraisee's responsibilities to be covered in the plans. The plans should focus on priorities and areas where specific action is required.
- 8.2. The plans agreed should be realistic and manageable and enable the appraisee to achieve a satisfactory work/life balance. The plan should cover: -
  - The appraisee's objectives
  - The arrangements for observing the appraisee's performance in the classroom;

- Any other evidence which will be taken into account in assessing the appraisee's performance;
- The performance criteria against which the appraisee's performance in each of the areas listed above will be assessed;
- The support that will be provided to help the appraisee to meet the performance criteria;
- Timescales for the achievement of objectives and within which support will be provided where these differ from the length of the review cycle; and
- The appraisee's training and development needs and the actions that will be taken to address them.
- The need for regard to the appraisee to have an appropriate work/life balance and the employer's duty of care in this regard.

## 9. OBJECTIVES

- 9.1. Appraisers are responsible for ensuring rigor when objectives are set. Objectives should focus on priorities. They should be time bound, challenging but achievable and reflect the need for a satisfactory work/life balance. An appraisee's objectives should reflect any relevant team, year or whole school objectives, taking account of the appraisee's job description, and they should also reflect the experience and aspirations of the appraisee.
- 9.2. Some objectives may be achievable within the appraisal cycle. Others may require a longer time span in which case the record of objectives should show the milestones towards that objective and how these will be reviewed.

## 10. CLASSROOM OBSERVATION

- 10.1. All classroom observation should be undertaken in accordance with the regulations and the school's protocol for the conduct of classroom observation and the school's appraisal policy. Classroom observation should not be undertaken for its own sake. There should always be a clear rationale and focus for any classroom observation. **The classroom observation agreed in the planning and review statement should be proportionate, multipurpose and should provide monitoring information for a range of other necessary purposes such as school self evaluation or a school improvement programme as well as appraisal.**
- 10.2. Classroom observation is likely to include observation undertaken by the appraiser but it may include observation undertaken by others who have appropriate professional expertise. Head teachers should ensure that all those who act as observers have adequate preparation and the appropriate skills to undertake observation and to provide constructive oral and written feedback and support.
- 10.3. A release time may not always be needed but if it is, sufficient timetabled release times should be provided to enable the observer to give adequate time to the task and so that verbal feedback can be given as soon as possible. Ideally oral feedback should be given immediately and in any case no later than the end of the next school day. Where appropriate, feedback should include an assessment of the quality of the lesson observed. PPA time must not be used for these purposes.

- 10.4. The essence is that classroom observation and the appraisal cycle should contribute to a teacher's professional development and therefore should be conducted in a manner that equates to a professional dialogue. The Regulations require classroom observation to be undertaken by persons who have qualified teacher status. It would be good practice to ensure: -
- The amount of observation, with a clear focus agreed between the teacher and the reviewer, is recorded in the planning and review statement.
  - Written feedback is provided within five working days.
- 10.5. Teachers should be given adequate notice (at least five working days) of a proposed lesson observation. Feedback should take place within 24 hours of the lesson observation and take the form of professional dialogue where the observer gives due weight to the teacher's knowledge, insight and judgement. The focus of the feedback should be on what the teacher needs to do to improve teaching and learning. If feedback is focussed and constructive it is likely to be a powerful tool for continuous professional development.
- 10.6. Classroom observation should be supportive and developmental. There should be a short written record of the observation, feedback and any subsequent follow up work. The observation record should be sufficient to meet the needs of the individual and the school (i.e. summarising the focus, what was learnt from the observation, the feedback given and any subsequent actions or other follow up). The observation record should not represent an unnecessary burden. The record of the observation should be made available to the appraisee within five working days of the observation. The appraisee should make any comments they have on the record of the observation.
- 10.7. Schools in which the classroom observation is carried out in accordance with the appraisal arrangements and in which the appraisee is fully involved as a partner in agreeing the planning statement, will meet the expectations of external monitoring in a way that supports the teacher through a rigorous and meaningful system of development. Feedback from properly planned and focussed classroom observation that is undertaken as part of the appraisal process should enable head teachers to understand the standards of teaching and learning in their schools.
- 10.8. Classroom observation may provide evidence of how an appraisee is making progress in relation to agreed objectives but it also enables the appraiser to assess a appraisee's teaching performance more generally and thereby informs an assessment of the overall performance of the appraisee. If concerns arise during the review cycle or the appraisee's circumstances change there is scope, following appropriate discussion, to revisit the amount of classroom observation agreed at the beginning of the cycle. In such circumstances additional classroom observation, may be agreed. This should be recorded in a written addition to the review statement. Teachers should have the opportunity to engage in classroom observation with other professional colleagues, by agreement, in order to review and develop their practice. Developmental peer observations are voluntary and initiated by teachers and are not part of the appraisal arrangements.

- 10.9. A head teacher has a duty to evaluate the standards of teaching and learning and to ensure that proper standards of professional performance are established and maintained. Heads have a right to drop in to inform their monitoring of the quality of learning. In large schools they may delegate drop in to appropriate members of the leadership group. The appraisal arrangements are integral to fulfilling this duty and head teachers may consider the classroom observations they have agreed for appraisal are sufficient and that drop in will not be needed.
- 10.10. The other evidence which will be taken into account will normally be in the form of data or written feedback from specific individuals. Those providing evidence should always have direct professional knowledge of the appraisee's work. The other key evidence may relate to any areas of the appraisee's work which are not to be reflected directly in the appraisee's objectives or classroom observation and help the reviewer to make a judgement about the overall performance of the appraisee. For example, evidence about the outcomes of the appraisee's engagement and professional development, including the feedback on the contribution they have made to the development of others, might be considered in this context.

## 11. USE OF PUPIL PERFORMANCE DATA

- 11.1. The performance criteria should indicate what success would look like at the end of the cycle if a particular objective is met. The performance criteria should provide clarity about the basis on which the appraiser will assess the overall performance of the appraisee based on progress towards the achievement of objectives, classroom observation and other evidence. These matters should be determined taking into account the appraisee's job description, the relevant professional standards, what can reasonably be expected of the appraisee and, where the appraisee is eligible, the relevant pay progression criteria in the School Teachers' Pay and Conditions Document (see Annexe 7).
- 11.2. It is the responsibility of appraisers to ensure that performance criteria are applied appropriately in terms of equal opportunities considerations. Appraisers will need to consider the nature and scope of the performance criteria, their relevance and appropriateness, the circumstances of the school and the needs of the individual and whether or not the performance criteria might be deemed to be either directly or indirectly discriminatory under the provisions of the relevant legal framework. The objective and intelligent use of pupil performance data is likely to be an element in the criteria which will help to determine whether a particular objective has been met. Teachers will recall that standard 6 of the standards for teachers published in May 2012: -
- Make accurate and productive use of assessment
  - Know and understand how to assess the relevant subject and curriculum areas, including statutory assessment requirements
  - Make use of formative and summative assessment to secure pupils' progress
  - Use relevant data to 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.

- 11.3. This requires that progress towards an objective, one element of which might be judged against pupil performance data, should be measured on the basis of all the evidence available and not on one element. The fact that a pupil or group of pupils have achieved or not achieved the pupil performance target will be one element of the available evidence but it is unlikely to be the whole picture and appraisers should be basing their judgement on overall performance. Accordingly, the data must be interpreted appropriately and used to support the management decision arrived at. It might be, for example, that there are mitigating factors if the pupil performance data has not matched the target figures. This needs to be taken into account when the appraiser arrives at their overall performance assessment. (See Annexe 7)

## 12. **PERFORMANCE CRITERIA**

- 12.1. The performance criteria should indicate what success would look like at the end of the cycle. The performance criteria should provide clarity about the basis on which the appraiser will assess the overall performance of the appraisee based on progress towards the achievements of objectives, classroom observation and the other evidence. These matters should be determined taking into account the appraisee's job description, the relevant professional standards, what can reasonably be expected of the appraisee and where the appraisee is eligible the relevant pay progression criteria in the Document. It is the responsibility of the appraiser to ensure that performance criteria are applied appropriately in terms of equal opportunity considerations. Appraisers will need to consider the nature and scope of the performance criteria, their relevance and appropriateness, the circumstances of the school, the needs of the individual and whether or not the performance criteria might be deemed to be either directly or indirectly discriminatory under the provisions of the legal frameworks.

## 13. **SUPPORT, TRAINING AND DEVELOPMENT**

- 13.1. Appraisal is a developmental process and a key part of the planning discussion should be about the support that the appraisee may need to meet the performance criteria, the appraisee training and development needs and how those needs will be met. Support may take a number of forms, for example, time coaching and mentoring, additional assistance in the classroom, equipment or ICT facilities. In considering training and development, going on courses is one possible option but both parties should recognise that a wide range of activities constitute professional development.

## 14. **RECORDING PLANS**

- 14.1. The planning and review statement provides the record of agreed plans and should cover all the points set out in paragraph 8 above. A model planning and review statement is provided at Annex 6 to this guidance. At the end of the planning and review meeting the appraiser should summarise the points that have been covered and are to be included in the statement.

14.2. The appraiser should, within five working days of the meeting, produce a draft statement and provide the appraisee with a copy. The appraisee and appraiser should seek to agree the statement. The appraisee may request changes to the draft statement and make written comments on it. The statement should record all the required evidence of the plans and to be a fair summary of what took place at the meeting. The appraisee should, therefore, only be able to secure changes when the statement does not convey this fairly or where the wording is capable of wrong interpretation. The appraiser should, within 10 working days of the meeting, ensure a final statement is prepared and signed by both parties. The appraisee may add final comments before signing. Where the appraiser is not the head teacher the appraiser gives the appraisee a copy of the final statement and passes the original to the head teacher for retention or, if the appraisee is the head teacher, to the chair of governors. The 5- and 10-day periods referred to above can be extended if either party does not work or is absent from work during those school days following receipt of the draft performance review and planning statement.

## 15. **MODERATION OF PLANS – SCOPE FOR THE HEAD TEACHER TO CHANGE PLANNING AND REVIEW STATEMENTS**

15.1. The head teacher should ensure that the procedures and processes are applied fairly and consistently across the school and with regard to equal opportunities considerations. **Head teachers will wish to set up procedures for monitoring and moderating the plans of the cycle agreed in planning and review statements.** As part of this the head teacher may review planning and review statements, within 10 days of their completion, and where necessary instruct the appraiser to prepare a new statement prior to it being finalised and retained. Head teachers are under no obligation to review planning statements and it is for them to decide whether they wish to do so. They may wish to moderate a sample of statements rather than all statements from the school.

15.2. A head teacher may change the statement on the grounds that the statement was not consistent with those for other teachers with similar experience and/or who had similar levels of responsibility; or that the statement was not in line with the school's appraisal policy or school improvement plan.

15.3. If a head teacher is concerned about a statement following discussion with the appraiser and appraisee a revised statement may be prepared. The appraiser and appraisee should produce a revised statement within 10 days of being instructed by the head teacher to do so. The appraisee can also add any comments at this stage.

## 16. **ACTION DURING THE APPRAISAL CYCLE**

16.1. During the cycle the appraisee should: -

- Receive written feedback on classroom observation.
- Receive written evidence from any persons or any data as determined at the planning meeting at the beginning of the cycle.
- Receive feedback on their progress from the appraiser and the opportunity to discuss this.

- Be advised at the time they arise of any concerns and have the opportunity to discuss these with the appraiser.
- Advise the appraiser of any concerns they have at the time they arise about progress, the provision of support or training.

16.2. **All evidence gathered during the cycle must be shared with the appraisee as it is collected so that there should be no surprises at the end of the cycle.**

16.3. The appraisee is responsible for making sure that during the performance management cycle they make the appraiser aware of things they consider have been helpful and impacted positively on their personal performance. Similarly, appraisees should make their appraiser aware as soon as possible if they have any concerns about the professional development and other support they are receiving and of any changes in circumstances that might bear on their performance.

16.4. There is no requirement in the regulations to schedule formal meetings to review performance during the appraisal cycle but both the appraiser and appraisee should maintain a professional dialogue throughout the year. If, in addition to that, either party thinks it would be helpful to meet to discuss matters concerning performance in general or any aspect of their agreed statement during the review cycle they can request a meeting. Where such a meeting is requested it should take place within a reasonable time of the request first being made.

## 17. MID CYCLE CHANGES

17.1. There may be occasions where objective reasons make it necessary to review what has been agreed in the review statement during the appraisal cycle for example: -

- Where the appraisee's post and/or responsibilities have changed.
- If there have been difficulties in accessing agreed support.
- Where the appraisee has been on maternity or long-term sickness absence.
- Where there are concerns about the appraisee's performance. (See paragraphs 17.4 to 17.7 below)
- Where reasonable adjustments required under the provisions of the Disability Discrimination Act need to be made.

17.2. Where it is necessary to review the planning statement, either party can request a meeting. Any proposed changes to the objectives, arrangements for classroom observation evidence and arrangements for its collection, performance criteria or support available to the appraisee in the review statement should be recorded as a written addition to the statement. The appraiser and appraisee should sign to say that the changes are an accurate reflection of what was agreed or determined by the appraiser. At the same time as signing the addition the appraisee can add any comments in writing.

17.3. Where a teacher has changed post and/or responsibilities in the school part way through a cycle, the head teacher (or the governing body as appropriate) will decide whether the cycle should begin again and whether to appoint a new appraiser. Changes to the statement should not be triggered simply because there has been a change of head teacher, line manager or appraiser although changes to statements may arise as a result of such personnel changes.

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- 17.4. Where there are concerns about any aspects of the teacher's performance the appraiser will meet with the teacher to: -
- Give clear feedback about the nature and seriousness of the concerns;
  - Give the teacher an opportunity to comment and discuss the concerns;
  - Agree any support (such as mentoring or structured observations) that will be provided to help address the concerns;
  - Make clear how, and by when, the appraiser will review progress;
  - Explain the implications and process if insufficient improvement is made;
  - Advise the teacher to seek support from a professional association or trade union.
- 17.5. The teacher should be given written notice of the meeting five days in advance. The teacher is entitled to trade union or professional association representation at this meeting. The School (especially larger schools) will need to reflect on whether members of the senior leadership team need to become involved in the process at this stage. The purpose of the meeting will be to establish: -
- That the employee is aware of the standards required
  - That the standards are reasonable
  - Whether the context in which the employee works has altered significantly;
  - That the volume of work is reasonable
  - Whether the poor performance is a training issue
  - That the resources and equipment available are appropriate
  - The support that will be provided
  - The timescale for the process.
- 17.6. A record must be kept of the agreed targets, support to be provided and the timescale for improvement. A copy of this must be given to the appraisee.
- 17.7. At the end of the agreed timescale a meeting will be held to review performance. There are several possible outcomes
- Performance has improved satisfactorily and targets have been met in which case no further action is required. This will be confirmed in writing and the appraisal process will resume.
  - Progress has been made but the review period will be extended to enable the appraisee to meet all targets;

- Progress is unsatisfactory and the matter moves to the formal capability procedure. This will be confirmed in writing.

## 18. **ASSESSING PERFORMANCE AT THE END OF THE CYCLE**

- 18.1. The appraiser should assemble information about the appraisee's performance as detailed on the planning and review statement. All the evidence must be shared between the appraiser and the appraisee before the review meeting to ensure an informed discussion.
- 18.2. At the review meeting the appraiser and appraisee should
- Seek to achieve a shared understanding of the progress made towards meeting the performance criteria; and
  - If appropriate, explore any issues that might have impeded the appraisee's performance.
- 18.3. The appraiser and appraisee should seek to agree an assessment of the overall performance of the appraisee against the performance criteria agreed at the beginning of the cycle. This should include, where the appraisee is eligible, making a recommendation on pay progression taking into account the pay progression criteria. If the appraiser and appraisee cannot agree the appraiser's view will be recorded. The outcomes of the review meeting and a recommendation about pay progression should be recorded on the planning and review statement. The appraisee may add comments to the statement. Appraisers will wish to bear in mind that with effect from September 2014 the progression of all teachers on their respective salary scale is dependent upon satisfactory appraisal outcomes. Recommendations with regard to pay progression should be rooted in evidence. Any judgement should be defensible if challenged by the appraisee, the moderator or Ofsted.

## 19. **MAKING A PAY RECOMMENDATION**

- 19.1. The 2012 Appraisal Regulations indicate that there is no change to the arrangements for pay progression. Pay awards must be backdated to 1 September. From September 2014 the progression of teachers on the various salary scales set out in the School Teachers' Pay and Conditions Document will be subject to satisfactory appraisal and performance management outcomes.
- 19.2. The following categories of teaching staff will be considered for salary progression (subject to eligibility) at the time of the whole school review of pay decisions. The national criteria as contained in the Document should form the initial basis of performance pay progression and can be summarised as follows: -
- Head teacher – sustained high quality of performance with particular regard to performance objectives set in accordance with the School Teacher (Appraisal) Regulations 2012.
  - Lead Practitioners – the teachers' performance as assessed through the School Teacher (Appraisal) Regulations 2012.

- Upper Pay Spine – the teacher’s performance as assessed through the School Teacher (Appraisal) Regulations 2012.
  - Classroom teachers – the teacher’s performance as assessed through the School Teacher (Appraisal) Regulations 2012.
  - Unqualified teachers – the teacher’s performance as assessed through the School Teacher (Appraisal) Regulations 2012.
- 19.3. Appraisers pay recommendations are passed to the head teacher as part of the planning and review statement and the head teacher, having moderated the recommendations, passes the pay recommendation onto the appropriate committee of the governing body.
- 19.4. At Annex 7 there is a fuller commentary on performance pay progression.

## 20. **APPEAL**

- 20.1. Governing bodies are required by law to establish procedures for dealing with any grievance teachers may have at work and an appraisee can use these procedures to appeal against any entry on their planning and review statement including any changes made to the statement during the cycle. Where an appraisee wishes to appeal on the basis of more than one entry this would constitute one appeal hearing. Any appeal should be deferred until after the moderation process is complete where the head teacher has indicated an intention to moderate the statements. Disagreements should be capable of being resolved by discussion between the appraiser and appraisee on an informal basis without recalls to the grievance procedures.
- 20.2. Where the disagreement relates to pay then the normal pay appeal procedures should be followed.

## 21. **CONFIDENTIALITY**

- 21.1. The appraisal process, and in particular the statements generated under it should be treated with confidentiality. The regulations specify who must be given access to an appraisee’s statement and who may be given access and for what purposes. A checklist is provided at Annex 8. No one else should be given access to an appraisee’s statement and the school should put their own arrangements in place to ensure this. Appraisees must be informed as to who has been granted access to their statement and for what purpose.
- 21.2. Review statements for teachers should be retained by the head teacher (or where the head teacher is the appraisee, the chair of governors) in a secure place on the school premises.

## 22. **APPRAISAL FOR HEAD TEACHERS AND OTHERS**

22.1. Specific issues for groups of teachers at the Annexes 9-13 there are specific commentaries with regard to: -

- Head teachers
- Teachers who join or transfer from another school during the cycle
- Unattached teachers
- Part time teachers
- Teachers who are absent, teachers employed at more than one school and teachers on fixed term contracts.

## **ROLES AND RESPONSIBILITIES**

### **GOVERNING BODIES**

- Establish the school's appraisal policy, monitor the operation and outcomes of the appraisal arrangements and review the policy and its operation each year.
- Appoint two/three governors to review the head teacher's performance on an annual basis.
- Appoint an external adviser to advise appointed governors on the head teacher's performance.
- Make decisions about pay and career progression based on pay recommendations made by appraisers.
- Retain a copy of the head teacher's planning and review statement (normally the chair of governors).
- Where the head teacher makes such a request, to action requests for evidence from the appraisal process to be transferred if the head teacher transfers mid cycle.
- Ensure the content of the head teacher's planning and review statement is drafted having regard to the need to be able to achieve a satisfactory work/life balance.
- Undertake action in relation to appeals in line with the school procedures.

## ROLES AND RESPONSIBILITIES

### THE HEAD TEACHER

- Report annually to the governing body on appraisal arrangements and on training and development needs.
- Play an active role in their own appraisal and professional development including taking action as agreed at review meetings.
- Act as appraisers and, where appropriate, delegate the role of appraiser in its entirety.
- Retain copies of all review and planning statements and provide others with access to statements where appropriate.
- Take account of review outcomes in school improvement planning and ensure the school produces and resources an effective plan for the professional development of its workforce.
- Ensure that procedures are in place to moderate and review all (or a selection) of planning and review statements to facilitate fairness and consistency throughout the school.
- Establish a protocol for classroom observation for inclusion in the appraisal policy.
- Action any request from a teacher for evidence from appraisal to be transferred if the teacher moves school mid cycle.
- Evaluate standards of teaching and learning and ensure proper standards of professional practice are established and maintained.
- Ensure that the teacher's planning and review statement is drafted having regard to the need for a satisfactory work/life balance.

**ROLES AND RESPONSIBILITIES**

**TEACHERS**

- Play an active role in their own appraisal and professional development including taking action as agreed at review meetings.
- Where the role of appraiser has been delegated to them in accordance with the regulations act as a appraiser for other teachers.
- Contribute to the annual planning and assessment of other teachers where appropriate.

### PLANNING FOR THE REVIEW MEETING - APPRAISEES

- Reflect on their achievement in the last appraisal cycle including against the performance criteria recorded in the planning and review statement.
- Ensure they have copies of any relevant documentation and evidence and written feedback on classroom observations.
- Identify any issues that have affected their performance, positively or negatively.
- Consider any issues about the planned support they need or have received.
- Assess the impact of the engagement in professional development both on their own and as appropriate their support for the professional development of others recognising that it can take time for benefits to be realised fully and reflected in improved classroom practice.
- Reflect on how far they have met the agreed performance criteria.
- Consider what they would like to achieve in the next appraisal cycle taking account as appropriate of departmental, faculty, year group or whole school improvement plans.
- Consider as a backdrop to the discussion the standards published in May 2012 and where the appraisee is eligible for pay progression the relevant criteria for pay progression set out within the Document. Identify what professional development might help them to develop their practice further.
- Consider their professional aspirations.

## PREPARATION FOR THE PLANNING AND REVIEW MEETINGS – APPRAISERS

- Check the planning element of the planning and review statement and that all the elements have been addressed.
- Check that all documents to which they will refer at the meeting have been shared with the appraisee to assist their preparation.
- Consider the improvement objectives of the school and the relevant key stage or curriculum areas and how these may be relevant to planning for the next cycle with the appraisee. For example the school may have agreed a shared team, year, faculty or whole school objective covering all teachers including the head teacher.
- Ensure they are familiar with the teacher standards published in May 2012 and the relevant criteria for pay progression set out within the Document.
- Ensure they have consulted with the relevant third parties and with direct professional knowledge of the appraisee about possible objectives for the next review cycle, performance criteria, evidence, arrangements for collecting it and the support to be provided to the teacher.
- Understand the requirements of the School Teachers' Pay and Conditions Document where the appraisee might be eligible for pay progression depending on the outcome of the appraisal process.
- The planning and review meeting is an important occasion and should be treated as such. The appraiser will wish to ensure that both parties can devote quality time to the meeting by scheduling it well in advance and providing confirmation of the meeting five days in advance.
- The meeting should take place in a setting where there will be no interruptions and a full professional dialogue can take place.
- The planning and review meeting is a confidential occasion and this should be clearly established at the outset.
- An hour should be sufficient time for the planning and review meeting.

## THE USE AND RETENTION OF STATEMENTS

- The head teacher or, where appropriate, the governing body shall retain an appraisee's statement for a minimum period of six years from the date on which the cycle the which it relates ends.
- Where the appraisee is a teacher other than the head teacher the governing body shall have regard to the results of the review recorded in the statement when exercising any discretion in relation to pay.
- The governing body shall be provided with access to the appraisee's statement for the purposes of exercising discretion in relation to pay.
- Where the appraisee is the head teacher the governing body shall have regard to the results of the review recorded in the statement when exercising any discretion in relation to pay.
- The reviewee's line manager shall be provided with access to the appraisee's plan recorded in the statement where this is necessary to enable the appraiser to discharge line management responsibilities.
- Where an appraisee pursues a grievance in relation to the contents of the statement the head teacher (or where appropriate the governing body) shall provide anyone hearing that appeal with access to the statement.
- Where an appraisee transfers from one school to another school part way through the cycle the head teacher (or governing body as appropriate) shall transfer the appraisee's statement for the cycle together with any evidence gathered concerning his performance to the head teacher or governing body of the new school upon receipt of a written request from the appraisee.
- Where an appraisee employed as an unattached teacher becomes employed as a teacher by an authority in a school or by a governing body of a school part way through the cycle the authority shall transfer the appraisee's statement for that cycle together with any evidence gathered concerning the performance during the cycle to the head teacher (or the governing body as appropriate) upon receipt of a written request from the appraisee.

## DRAFT

## PERFORMANCE PAY PROGRESSION

1. The advice set out in this document concentrates on the position of teachers eligible to receive performance pay progression in accordance with the School Teachers' Pay and Conditions Document. In developing a policy with regard to performance pay progression the governors will wish to have regard to the principles of objectivity, fairness and openness.
2. The pay policy recommended to schools by the Borough Council requires reviews for teachers to be conducted by 31 December. In these circumstances awards must be backdated to 1 September. The following categories of teaching staff should be considered at the same time as part of the whole school approach to salaries as recommended in the Personnel Handbook: -
  - The head teacher
  - Other members of staff on the leadership group pay spine
  - Lead Practitioners
  - Post threshold teachers (on the upper pay spine)
  - Teachers on the classroom teachers pay spine.
3. The national criteria as contained within the Document should form the initial basis of performance pay progression and can be summarised as follows: -
  - **Head teacher** – sustained high quality of performance with particular regard to performance objectives set in accordance with the School Teacher (Appraisal) Regulations 2012
  - **Other members of the leadership group** – sustained high quality of performance taking account of performance objectives set in accordance with the School Teacher (Appraisal) Regulations 2012
  - **Lead Practitioners** – the teacher's performance as assessed through the School Teacher (Appraisal) Regulations 2012
  - **Upper pay spine** – the teacher's performance as assessed through the School Teacher (Appraisal) Regulations 2012
  - **Classroom teachers** – the teacher's performance as assessed through the School Teacher (Appraisal) Regulations 2012.
4. From September 2014 all decisions about pay progression will be linked to performance and the quality of appraisal and performance review will be the key to the successful implementation of the recommended pay policy.
5. Appraisal should be a supportive developmental process designated to ensure that all teachers have the skills and support they need to carry out their role effectively. Appraisal should help teachers to improve their professional practice throughout their careers.

6. Schools must have a clear, written pay policy setting out the links between appraisal, performance review and pay. This advice with regard to pay progression will focus on the key areas for consideration and provide a guide to the issues that schools must address in linking pay to performance.
7. Teacher performance should be assessed against the relevant national standards as well as the objectives set as part of the appraisal process. Schools will need to identify what factors will be taken into account when making judgements about whether a teacher has met their objectives and the relevant standards. This is likely to include: - (The list is not exhaustive. Additional elements should be in the pay policy)
  - impact on pupil progress
  - impact on wider outcomes for pupils
  - improvements in specific aspects of practice (such as behaviour management or lesson planning)
  - impact on the effectiveness of other teachers
  - the wider contribution to the work of the school.
8. Objectives set as part of the appraisal process are likely to be important but are not the only consideration. It might be that meeting the objectives is deemed to be the single criterion for pay progression; on the other hand, schools might wish to reward a teacher who has made good progress towards, but not fully met, a challenging objective. It is likely that evidence to support the extent to which a pay progression criterion has been met will be obtained from a variety of sources (agreed as part of the appraisal planning meeting) such as peer review, lesson observations, tracking pupil progress, CPD outcomes and so on.
9. One early decision that schools will need to make (and record in their pay policy) is the framework of pay scales that will apply in the school. Attached to this document at appendix 2 is a framework of possible options for the main teacher pay scale. At least in the short term and while the new arrangements bed in, the advice of the Borough Council is as follows
  - Main classroom teacher pay scale – M1 to M6 with four salary reference points in between.
  - Upper pay range – UPS1 to UPS3 with one salary reference point in between.
  - Lead Practitioners – An eighteen-point salary range (with the minimum and maximum set by the Document) from which schools select a five-point continuous pay scale reflecting job weight. Such posts are to be part of the formal staffing structure.
10. Schools should address the matter of the frequency of pay movements on the respective pay scales and ranges. For example, teachers on the upper pay spine have previously been eligible for movement following two successful appraisal outcomes. All teachers should receive an annual appraisal and are entitled to an annual statement regarding pay. Some teachers may not be eligible for pay progression in a given year. For teachers on the upper pay spine, the lead practitioner spine and the leadership scale schools will need to consider whether annual pay progression can be considered “sustained”. This could have implications for the school budget where schools have a high proportion of staff on the upper pay range so a clear picture of the profile of teachers across the school will be important in decision making about the school pay policy.

11. The role of the governing body will be important. The governors pay committee will need to be satisfied that pay recommendations are fair, objective and consistent across the school and have been properly moderated by senior managers. There should be dialogue with governors to establish what information they will need to make informed decisions and, crucially, how any decisions will be reported to the full governing body without prejudicing the ability of governors to handle pay appeals. Governors will need to be able to defend the decisions on pay when challenged (by dissatisfied teachers or Ofsted) and will need to understand the correlation between the pay decisions, performance outcomes and pupil progress. Ofsted inspectors are likely to ask for anonymised information, from the last three years, which show the proportions of teachers who have: -
  - progressed along the main pay scale
  - progressed to (and through) the upper pay scale
  - progressed on the leadership pay spine
  - received additional responsibility payments (such as TLRs or SEN allowances)
12. The pay policy adopted by the governing body must comply with all appropriate equal opportunities legislation. Deliberations will, therefore, need to take into account disability adjustments where applicable and a shorter timescale where a teacher has, for example, been on maternity leave or long-term sickness.
13. It will be vital that the outcomes of the pay decisions are fair and comply with the Equality Act 2010. In this context schools will wish to have regard to Circular BBSIC/11/29 which provides advice and guidance on equality impact assessments and the matters which schools should take into account when considering the effect of school policies on groups or individuals with particular protected characteristics.
14. The School Teachers' Pay and Conditions Document makes an explicit link between appraisal outcomes and pay progression but it is important to understand that, in the event of a dispute, the implied terms in the contract of employment might well be taken into account by the courts. The implied terms include the expectation of reasonable support, reasonable, achievable objectives and trust and confidence.
15. Governing bodies will have appeal mechanisms in place (see Chapter 3, Section 1 of the Personnel Handbook) but if a member of staff remains dissatisfied they may make an application to the Employment Tribunal and claim unfair deduction from wages. (Alternatively, they could proceed via a civil court and claim breach of contract). In order to avoid contractual disputes, the legal advice with regard to objective setting received by the Borough Council is summarised below: -
  - (a) Objectives
    - A good teacher, who is eligible for pay progression, should have a reasonable expectation of progress on the relevant pay scale.
    - Targets should be fair, reasonable and achievable. (A question schools might wish to consider is "has the school put any barriers in the path towards achieving the objective?")
    - Targets should be consistent (and therefore moderated) but they do not have to be agreed.
  - (b) Reasonable Support
    - An employer must not prevent an employee from meeting an objective.

- There is a duty on employers to ensure employees have a fair opportunity to meet objectives.
  - Employers should provide ongoing, constructive feedback throughout the process. Employees should not be simply left (or allowed) to fail.
16. It is important to remember that objective, measurable targets are less likely to be successfully challenged than subjective criteria where views might differ about the extent to which a performance criterion has been matched. When considering consistency, it is important to avoid gender bias (and other protected characteristics under the 2010 Equality Act). It is possible that factors outside work could influence performance and, in this context, schools may need to consider reasonable adjustments to address concerns.
  17. It would be unfair in law to discriminate against part time posts. Where schools employ job share holders is it possible to adequately differentiate between the workers?
  18. Where sickness absence is a factor it would be prudent to seek medical advice from the School's occupational health adviser. It is possible, depending on the circumstances, that reasonable adjustments will be required and that might mean considering revisiting the objectives. The School Teachers' Pay and Conditions Document requires a demonstration of performance to progress on the relevant pay scale so there are circumstances where sickness absence might be a legitimate reason to withhold an increment but crucially the school must be able to demonstrate that it has acted reasonably.
  19. Pregnancy is a protected characteristic under the Equality Act (and to this extent, therefore, is fundamentally different to sickness). The law states that taking maternity entitlement should not adversely affect a woman's pay. (To make a claim under the Equality Act a pregnant woman does not need a male comparator). There are a number of factors to consider including the duration of the leave and when it is taken. Schools could consider the most recent evidence available even if this was partial (say, three or four months) and not for a whole academic year (or another period depending on the appraisal cycle). In circumstances where schools are considering withholding a payment in the case of absence relating to pregnancy or ill health it is strongly advised that schools contact the relevant HR Adviser.
  20. A key tool in making fair, transparent and objective decisions about pay will be the school appraisal policy. The Borough Council has provided schools with a model appraisal policy in accordance with the School Teacher (Appraisal) Regulations 2012 and this can be accessed at Chapter 3, Section 3 of the Personnel Handbook. There are key questions that schools need to consider when reviewing their appraisal policy in the context of performance pay progression: -
    - Are school leaders (appraisers) clear about the levels of performance that might result in pay progression?
    - Are the appraisers clear about how to reflect this when setting objectives for teachers?
    - Do objectives routinely identify the success criteria?
    - How is performance measured? What evidence will be required to demonstrate that the performance criteria has been met?
    - Does the school differentiate expectations for teachers on higher salary scales? (See Appendix 3 with regard to teacher career progression).
    - Will the Head teacher (or other senior leader) make appropriate arrangements to moderate objectives to ensure quality and consistency?

21. With regard to lesson observations, the Borough Council has recommended a protocol to schools which can be accessed at Chapter 3, Section 3 of the Personnel Handbook. It is good practice to ensure that a planned programme of lesson observations is agreed at the appraisal planning meeting. During this discussion the appraiser should also establish what other evidence might be required to support the observations (such as a lesson plan, examples of marking and so on). Observers must be qualified teachers and have the necessary skills to feedback constructively both orally and in writing. The observer must also be clear about how to assess the teacher's performance against the relevant standards.
22. Effective management of the appraisal cycle will be necessary to ensure positive outcomes for individual teachers and for schools. Issues which emerge during the appraisal cycle should not come as surprise to the teacher in the review meeting at the end of the cycle. This is particularly important where eligibility for pay progression is being considered. The need for clear milestones marking progress toward objectives and regular reviews throughout the year will help to avoid misunderstandings at the end of the cycle. It is important that appraisal continues to be a developmental and supportive process for teachers so appropriate support, help and guidance will need to be available to provide teachers with realistic chances of matching their objectives. This means that continuous professional development will also play a key part in appraisal targets and performance pay criteria.
23. Taking the above factors into account, the Borough Council has consulted with representative Head teachers and the trade union and professional associations to produce a "Pay Awards Matrix" (see Appendix 1) and a Teacher Career Progression guide (Appendix 3). The comments of trade union and professional associations have been taken into account but they are unable to support the pay award matrix and the Teacher Career Progression guide (which, therefore, have the status of Borough Council advice). **The matrix and the document relating to career progression will not be appropriate in all settings but should be viewed as a guide to the decision making process when considering performance pay progression.** The focus is on the quality of teaching and learning (lesson observation), the progress of pupils and CPD. The possible outcomes reflect the weight given to the three elements of the matrix so teaching and learning is weighted as most significant while CPD is weighted as least significant. At Appendix 4 are some example targets.
24. Teachers should not be asked to apply for a pay review since this is a statutory duty upon governing bodies. There is no requirement on teachers to produce extra evidence but teachers may wish to submit other evidence that they consider to be relevant through the appraisal system. It must be made clear that this is optional.
25. When considering progress towards targets agreed as part of appraisal the appraiser will refer to the performance pay criteria agreed as part of the appraisal planning meeting. The teacher may choose to draw to the attention of the appraiser other achievements or contributions not covered by the review. The teacher may choose to draw to the attention of the appraiser to further information (perhaps collected as part of the professional development portfolio) and provide any further evidence of achievement. This is optional.

26. Performance pay progression must not be linked to the length of service nor must it be deemed to be automatic. The appraiser must consider the performance of the teacher against the appropriate standards and consider whether the level of performance has been sustained. The recommendations on pay emerging from appraisal must be placed before the Pay Committee of the Governors. There should be no expectation on the part of the governors that the recommendations will be in rank order. The school will need to ensure that appropriate mechanisms exist to feed back decisions to the staff concerned.
27. Appeals should be considered as part of the policy adopted by the governors with regard to salary appeals in accordance with the arrangements set out in Chapter 3, Section 1 of the Personnel Handbook. Any policy adopted by the governors in respect of performance pay progression should be subject to annual review as part of the whole school pay policy review.

**PAY AWARD MATRIX (Note 1)**

The matrix will not be appropriate in all settings but should be viewed as a guide to the decision making process when considering performance pay progression

<b>Teaching Observation</b>	<b>Pupil Progress Target</b>	<b>CPD Target</b>	<b>Pay Decision (if eligible)</b>
(a) All observations at Level 1 or 2	Fully met	Fully met	Progression
(b) All observations at Level 1 or 2	Fully met	Partially met	Progression
(c) All observations at Level 1 or 2	Partially met	Fully or partially met	Discretion (++)
(d) All observations at Level 1 or 2	Not met	Fully or partially met	Discretion (+)
(e) One observation at Level 3 (all others at 1 or 2)	Fully met	Fully met	Discretion (+)
(f) One observation at Level 3 (all others at 1 or 2)	Partially met	Fully or partially met	Discretion
(g) One observation at Level 3 (all others at 1 or 2)	Not met	Fully or partially met	Discretion (-)
(h) Two observations at Level 3 (others at 1 or 2) (Note 2)	Partially met	Fully or partially met	Discretion (-)
(i) Two observations at level 3 (others at 1 or 2) (Note 2)	Not met	Fully or partially met	No progression
(j) One observation at Level 4 (others at 1 or 2) (Note 3)	Fully met	Fully or partially met	Further observation (if at 1 or 2 then discretion)
(k) One observation at Level 4 (others at 1 or 2) (Note 3)	Partially met	Fully or partially met	Further observation (if at 1 or 2 then discretion (-))

<b>Teaching Observation</b>	<b>Pupil Progress Target</b>	<b>CPD Target</b>	<b>Pay Decision (if eligible)</b>
(l) One observation at Level 4 (others at 1 or 2) (Note 4)	Not met	Fully or partially met	No progression and further observation
(m) Any other combination (Note 5)	Partially met	Fully or partially met	No progression
(n) Any other combination (Note 5)	Not met	Fully or partially met	No progression

### **Notes**

- Note 1      The assumption is that the teacher will have targets linked to school improvement priorities (one target linked to pupil progress, one to national teacher standards and one to CPD).
- Note 2      Next observation must be at Level 1 or 2 (i.e. Level 1 is outstanding and level 2 is good). Three out of four observations at 3 will result in informal capability process.
- Note 3      Extend the observation. If the teacher matches Level 1 or Level 2 in next observation then discretion on pay may apply. (A Level 3 or Level 4 would result in informal capability).
- Note 4      A further observation at Level 3 or Level 4 results in a move to informal capability
- Note 5      Move to informal capability

## OPTIONS FOR CLASSROOM TEACHER PAY RANGES

Pay Range (anticipated)	School A* (the 4 reference points)	School B Half points	School C Plus 5%	School D Three points	School E plus £1,000
21,804	21,804	21,804	21,804	21,804	21,804
		22,666			
					22,804
			22,894		
	23,528	23,528			
					23,804
			24,039		
		24,474			
					24,804
			25,241		
	25,420	25,420			
					25,804
		26,398			
			26,503		
					26,804
				26,836	
	27,375	27,375			
					27,804
			27,828		
		28,454			
					28,804
			29,219		
	29,532	29,532			
					29,804
			30,680		
		30,700			
					30,804
31,868	31,868	31,868	31,868	31,868	31,868
			(plus 3.87%)		(plus £1,064)

\* The pay scale recommended by Bedford Borough Council.

## TEACHER CAREER PROGRESSION

Bedford Borough Recommended Pay Point	Standards and Expectations
<b>Minimum of Min Scale (M1)</b>	NQT – Teachers in their first year will be assumed to be at level 3 (requires improvement). On successful completion of the NQT year the teacher moves to reference point 2 (and then reference point 3)
<b>Reference point (M)2 and reference point (M)3</b>	<p>Initial Teacher – It is recognised that not all teachers will progress at the same rate but by the end of the teacher's third year they should be a good teacher with two successful performance views. There will be evidence of classes (pupils) making good progress.</p> <p>Teachers not making sufficient progress will be provided with personalised support but are unlikely to progress to reference points 4, 5 and the maximum unless their lessons are consistently good and there is evidence of pupil progress.</p>
<b>Reference point (M)4, reference point (M)5 and the maximum of the scale</b>	<p>Accomplished Teacher – A consistently good teacher who aspires to be outstanding. During this three-year period the teacher will begin to deliver some outstanding lessons and will have secured two successful performance reviews. The teacher will begin to support and influence other teachers in their daily practice. Classes (pupils) should show good progress.</p> <p>Teachers not making sufficient progress will be provided with personalised support but are unlikely to progress to the upper pay scale unless their lessons are consistently good and there is evidence of good progress.</p>
<b>UPS1</b>	<p>Expert teacher – A consistently good teacher who meets all eight DfE teacher standards.</p> <ul style="list-style-type: none"> <li>• Consistently good in terms of lesson observations and pupil progress</li> <li>• The teacher has positive relationships with students, colleagues and parents</li> <li>• The teacher has some impact on the teaching and learning of other colleagues</li> </ul>

	<ul style="list-style-type: none"> <li>• The teacher fulfils some wider responsibility within the department/faculty/year</li> </ul>
<b>UPS2</b>	<p>Expert teacher – A good to outstanding teacher who meets all eight DfE teacher standards.</p> <ul style="list-style-type: none"> <li>• Consistently good to outstanding in terms of lesson observation and pupil progress.</li> <li>• The teacher has positive relationships with students, colleagues and parents.</li> <li>• The teacher impacts on the teaching and learning of other colleagues.</li> <li>• The teacher fulfils some wider responsibilities within the department/faculty, year and potentially beyond.</li> </ul>
<b>UPS3</b>	<p>Expert teacher – A consistently good teacher with many aspects of excellence or outstanding teacher who meets all eight DfE teacher standards</p> <ul style="list-style-type: none"> <li>• A consistently good teacher with many aspects of excellence or an outstanding teacher both in terms of lesson observation and pupil progress</li> <li>• The teacher has positive relationships with students, colleagues and parents</li> <li>• The teacher has impact on the teaching and learning of other colleagues</li> <li>• The teacher fulfils wider responsibilities within the department/faculty/year and across the whole school.</li> </ul>



## Example 1

### Layer Objectives from School Improvement Issues

#### School Improvement Plan – To increase the number of pupils attaining Level 5 in Key Stage 2 Maths

(a) Head teacher Objective

To prepare, in collaboration with the Subject Leader for Maths, a highly focussed plan for raising the attainment of higher ability pupils by [date]

The plan must include: -

- Revisions to planning
- Effective use of present staff expertise
- Student involvement strategy
- Monitoring and evaluation agreements
- Liaison with appropriate outside agencies (high performing schools, the local authority etc)
- Time related objectives
- Success criteria, including percentages for pupil attainment at L5.

(b) Senior Leadership Team Member Objective

To lead Key Stage 2 (Y5 and Y6) maths teachers to engage with the plan for raising attainment and to agree: -

- Timescales
- Organisational arrangements to meet the objectives effectively
- Training requirements
- Milestones for evaluation of the plan
- Reporting and accountability arrangements.

(c) CPD Coordinator Objective

To use the information from the Training and Development annexe of the appraisal statements and construct a comprehensive, relevant and effective professional development programme to raise staff confidence and expertise in teaching Key Stage 2 mathematics. To evaluate the impact of the training programme after events have been held/attended.

(d) TLR Post Holder Objective (Maths Subject Lead)

To support and lead on focussed, relevant parts of the plan to raise mathematics attainment in Key Stage 2. This will include arranging opportunities for peer observation, training and monitoring effectiveness, evaluation of teaching and coaching for teaching and support staff.

(e) Main Scale Classroom Teacher Objective (Years 5 and 6)

To monitor achievement and progress in mathematics through tracking sheets.

To set targets for pupils in mathematics and monitor progress. (The targets must, as a minimum, be in line with the plan to raise attainment in mathematics).

To include in lesson plans and delivery increased opportunity for pupils to develop investigative skills and applying skills. Provide opportunities for problem solving and collaborative working.



## **Example 2**

### **Objective, Strategies and Success Criteria**

#### **Subject Leader (Mathematics) TLR Post**

##### Objective

By (date) develop lesson observation skills to improve teaching and learning within the mathematics department. Use evidence from lesson observations together with assessment and attainment data to review and evaluate the action plan for raising levels of attainment in mathematics.

##### Strategies

- Undertake paired lesson observation with SLT line managers.
- Develop the skills of other teachers in the consistent evaluation of teaching and learning through lesson observations.
- Liaise with the link governor for mathematics to feedback on the main issues arising from the observations.
- Provide opportunities for pupils to feedback their views on issues relating to teaching and learning in mathematics.

##### Success Criteria

- Successfully develop skills in lesson observation – SLT line manager to report on progress to the Head teacher by (date).
- Completed paired observations with the teachers by (date)
- Minutes of meeting with subject link governor passed to appraiser (including recommendations for future action) by (date).
- Pupil views to be reported to a staff group meeting in the (term) and future action agreed in the light of discussion.



### **Example 3**

#### **Objective, Strategies and Success Criteria**

##### **Deputy Head teacher**

##### **School Improvement Plan – To develop school self evaluation**

###### Objective

To continue to embed the development of self evaluation with reference to the skills of SLT and TLR post holders.

###### Strategies

- Create opportunities for all members of SLT to undertake paired observations with the Head teacher (or other members of SLT) or external colleagues.
- Provide middle leaders with opportunity to undertake pair observations with members of SLT.
- Arrange for external support to SLT members in developing the skills for completing self evaluation.
- Identify key personnel who can contribute to self evaluation.
- Create plan and timetable to ensure self evaluation information is regularly updated.
- Engage the relevant governors in the process.
- Extend opportunities to pupils, parents and external agencies (other schools, the local authority etc) to contribute to self evaluation.

###### Success Criteria

- SLT skills in lesson observations have developed and confidence increased.
- Middle leaders are more confident in grading lessons and can analyse and evaluate what needs to change in order to improve learning.
- Governors understand the reasons for self evaluation judgements.
- The wider school community is engaged in self evaluation judgements.
- The wider school community is engaged in self evaluation and this adds value to the process.

**CONFIDENTIAL**

**Annex 8**

**MODEL PLANNING AND REVIEW STATEMENT**

Appraisee's Name..... Appraiser's Name .....

- Assessment of performance for the appraisal cycle just ended and recommendations for pay progression.
- Objectives for next appraisal cycle including any relevant whole school/year/team/faculty objectives
- Extent, pattern and focus of planned classroom observation
- Other evidence
- Support
- Timescale for completion
- Work/life balance

Signed .....

Appraisee

Signed .....

Appraiser

Any further comments from the appraisee

**CONFIDENTIAL**

**TRAINING AND DEVELOPMENT**

- A copy of this paper should be sent to whoever in the school is responsible for planning the training and development of teachers.
- Training and development needs.
- Action to be taken.

Signed .....

Appraisee

Appraisee comments

Signed .....

Appraiser

## VARIATION FOR HEAD TEACHERS

- Appraisal provides the framework for the assessment of head teachers' performance in the context of their job descriptions and the backdrop of the relevant professional standards. The procedure and process will mirror as far as possible the process for teachers. The key difference in the appraisal process for head teachers arises as a result of the role of the governing body in the process and the fact that the governing body takes advice from an external adviser on head teacher appraisal.
- Where a meeting is requested mid-year, it should be undertaken wherever possible by the same governors and external adviser as undertook the initial review. This does not preclude informal discussion on the progress during the year between the head teacher and the chair of governors and/or the governors appointed to act as appraisers.
- Before providing preliminary advice to the governor appraisers, the external adviser and the head teacher will discuss the latter's performance. The external adviser will attend the head teacher's performance review meeting and offer to prepare the first draft of the performance review statement.
- The chair of the governing body may review the head teacher's review statement and seek revisions to the statement. In providing the governor-appraisers with external advice on the head teachers' performance management the external adviser is acting for the governing body and should not pass these papers to the local authority.

**VARIATION – TEACHERS WHO JOIN OR TRANSFER TO  
ANOTHER SCHOOL DURING THE REVIEW CYCLE**

- Where a appraisee joins the school part way through the cycle the teacher may ask the current head teacher in writing to forward their statement and, where it is available, any evidence to the head teacher of the new school.
- Upon receipt of the statement the appraisee's new appraiser will meet with the appraisee to discuss the statement and evidence and where necessary revise the statement by way of a written addition to the statement. The appraiser will need to take account of any changes in the appraisee's circumstances that may have occurred such as a change from full time to part time working. The appraiser will need to discuss and seek to agree with the appraisee transferring into the school, how the information in the statement and any evidence will be handled at the end of year performance review. Where there is a difference of view the appraiser has the final say. If the appraisee transferring in is a head teacher then the chair of governors would need to take equivalent action as appropriate.

## VARIATIONS – UNATTACHED TEACHERS

- An unattached teacher is either not attached to a particular school or is employed otherwise than at a school or is a teacher at a pupil referral unit as set out in the regulations. As far as possible the appraisal process for unattached teachers should be the same as for school-based staff.
- The local authority nominates an appraiser for unattached teachers. Depending on the nature of the teacher's job description the appraiser will need to consider whether to consult those who manage or receive support from the teacher externally ahead of the performance review to inform the discussion with the appraisee about how they contribute to the process to ensure the totality of the teacher's performance is assessed effectively in the review.
- In addition, if the appraiser is not a teacher the local authority will need to ensure that in meeting the requirements of the monitoring and review process they have sought input from a person with relevant professional expertise and appropriate experience. For example, classroom observation should be undertaken by an observer with appropriate recent professional expertise and qualified teacher status.
- The local authority must have an appraisal and pay policy that reflects the arrangements for unattached teachers and their entitlement to appraisal. This should also indicate the extent to which the policies of the schools in which they work should be assumed to apply. For example, an unattached teacher may be expected to comply with the classroom observation protocols of the school in which they work. All other aspects of the process should be the same as for school-based teachers.
- Bedford Borough Council has developed appraisal and pay policies for unattached teachers.

**VARIATION – PART TIME TEACHERS**

- Appraisal arrangements should apply on the same basis as for full time staff including the length of the review period. The same degree of challenge in the process should also apply but the breadth and volume of each element of the process should be proportionate to and reflect the period of time worked. Classroom observation should be fair and proportionate and take into account the circumstances of individual part time teachers. The intention is to ensure that part-time staff have equivalent access to development support and feedback as their full-time colleagues.

## VARIATION – OTHER MATTERS

Teachers who are absent for part of the appraisal cycle, teachers employed at more than one school and teachers on fixed term contracts.

- In assessing a teacher's overall performance, the appraiser should take account of what it was reasonable for the teacher to achieve including against the objectives during the time they were not absent from school. It may be appropriate to revise the planning and review statement.
- Where a teacher is employed at more than one school the governing body of each school is responsible for ensuring that a named person acts as appraiser and the appraisal arrangements are put in place for the teacher for the time they spend at the school.
- The circumstances in which teachers are employed for short periods of time varies substantially and the actual period of employment may extend beyond that which was first anticipated. In applying appraisal arrangements every effort should be made to mirror as closely as possible all the arrangements for teachers permanently based at the school.
- Head teachers will wish to consider employment legislation which provides protection for staff on fixed term contracts against being treated detrimentally in comparison to permanent staff. This is particularly significant where a teacher may be approaching eligibility for threshold assessment or progression on the relevant pay spine.
- The head teacher or nominated line manager will wish to discuss with each teacher employed on a fixed term contract at an early stage how to proceed in relation to appraisal with a view to establishing an agreed approach that is appropriate. Where a teacher working in a school is employed by an agency, to which the school pays a fee, there is no legislative requirement in relation to appraisal. If the teacher is likely to be in the post for a significant period of time the school may choose to include the teacher in its appraisal arrangements. Arrangements in relation to teachers employed by an agency should also be reviewed with the teacher if the duration of the employment is extended significantly.
- If a school considers full appraisal arrangements are not appropriate it may wish to make alternative arrangements for the teacher to receive feedback at the conclusion of their placement at the school, possibly providing a statement from the school relating to the teacher's work and performance. The school will need to ensure that if there are concerns they are raised as they occur to give the teacher an opportunity to respond. There should be no surprises as they leave. The purpose of providing feedback would be to seek to achieve and record a shared understanding of the progress made by the teacher towards meeting any agreed objectives and performance criteria and, where appropriate, provide an opportunity for the teacher briefly to record their views.

**PERFORMANCE MANAGEMENT AND PAY CHECKLIST**

**Performance Management Policy**

**YES**

**NO**

1. Has an Appraisal Policy been established which satisfies the Appraisal Regulations 2012?

*Action Proposed*

2. Does the head teacher report annually to the governing body on the operation and effectiveness of the Appraisal Policy and on the professional development needs of teachers?

*Action Proposed*

3. Have appraisers been identified for every teacher, including the head teacher?

*Action Proposed*

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YES

NO

4. Have appraisers (including governor appraisers) received appropriate preparation for their roles (including the making of pay recommendations at the end of the appraisal cycle)?

*Action Proposed*

5. Were planning meetings held for every teacher for the Appraisal Cycle by 31 October?

*Action Proposed*

6. Will the planning meeting be held for the head teacher for the appraisal cycle, by 31 December?

*Action Proposed*

**Pay Policy**

YES

NO

1. Has a pay policy been established?

*Action Proposed*

2. Is the pay policy up to date taking into account the revisions to the School Teachers' Pay and Conditions Document and including provisions that are consistent with the principles, practice and monitoring of equal opportunities, and the legislative requirements and duties which apply to schools and local authorities?

*Action Proposed*

3. Was a pay statement issued to every teacher by 31 December?

*Action Proposed*

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YES

NO

4. Was a pay statement be issued to the head teacher by 31 December?

*Action Proposed*

5. Does the pay policy make clear how evidence from appraisal statements, taking into account performance objectives and other evidence agreed at the planning meetings, will inform pay decisions?

*Action Proposed*

6. Have all staff eligible for pay progression been informed of the decision whether or not they are to progress?

*Action Proposed*



## TEACHER APPRAISAL MODEL DOCUMENT

**Governing Body of ..... School has adopted a policy for teacher appraisal which will be reviewed on (DATE). The policy covers teacher appraisal and applies to the Head teacher and all other teachers employed by the School except those on contracts of less than one term, those undergoing induction (ie NQTs) and those who are subject to the capability procedures adopted by the Governing Body.**

1. 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. **The appraisal period will run for 12 months** from 1 September to 31 August. Teachers employed on a fixed term contract of less than one year will have their performance managed in accordance with the principles underpinning this policy. **The length of the period will be determined by the duration of the contract.** Where an appraisee joins the School part way through the cycle they may ask their current Head teacher (in writing) to forward their appraisal statement and, where it is available, any evidence to the Head teacher of the new school. If such a request is made the Head teacher of that school should comply. Upon receipt of the statement the appraisee's new line manager will meet with the appraisee to discuss the statement and evidence and where necessary revise the statement by way of a written addition to the statement. It will be necessary for the line manager to take account of any changes in the appraisee's circumstances that may have occurred such as a change from full time to part time working. The line manager will need to discuss and seek agreement with the appraisee regarding how the information in the statement and any evidence will be handled at the end of the performance review. Where there is a difference of view the line manager will have the final say.

### Appointing Appraisers

3. **The Head teacher will be appraised by the Governing Body, supported by a suitably skilled and experienced external adviser who has been appointed by the Governing Body for this purpose.**
4. In this School the task of appraising the Head teacher, including the setting of objectives, will be delegated to a sub group consisting of (two or three) members of the Governing Body.
5. The Head teacher will determine the appraiser for all other teachers.

## Setting Objectives

6. **The Head teacher's objectives will be set by the governing body after consultation with the external adviser.**
7. **Objectives for each teacher will be set for, or as soon as practicable after, the start of the appraisal period.** (Teachers will receive a written appraisal report by 31 October in each academic year.) The objectives set for each teacher will be specific, measurable, achievable, realistic and timebound and will be appropriate to the teacher's role and level of experience. Where the circumstances change it is possible to revise the objective(s).
8. **The objectives set for each teacher will, if achieved, contribute to the School's plans for improving the School's educational provision and performance and improve the education of pupils at the School.** The objectives set will be rigorous, challenging, fair and equitable in relation to teachers with similar roles and responsibilities and will have regard to what can reasonably be expected from the teacher in that position given the desirability of the appraisee being able to achieve a satisfactory balance between the time required to discharge his professional duties and the time required to pursue his personal interests outside work. The objectives will also take account of the teacher's professional aspirations and any relevant pay progression criteria. They should be such that if they are achieved they will contribute to improving pupil progress.
9. The appraiser and the appraisee will seek to agree the objectives but where joint determination cannot be made the appraiser will make the determination.
10. Appraisal is an assessment of overall performance of the teacher (or the Head teacher) and objectives cannot cover the full range of the teacher's role and responsibilities. Accordingly, objectives will focus on the priorities for an individual for the review cycle.
11. **Before, or as soon as practicable after, the start of each appraisal period each teacher will be informed of the standards against which the teacher's performance in that appraisal period will be assessed.** All teachers will be assessed against the set of standards contained in the document called "Teachers' Standards" published in May 2012.

## Reviewing Performance

### Observation

12. This School believes that observation of classroom practice and other responsibilities is important both as a way of assessing the teacher's performance in order to identify any particular strengths and areas for development that they may have and it is a useful way of gaining information which can inform school improvement more generally. All observation will be carried out in a supportive fashion. (Attached to this policy is a classroom observation protocol).

13. In this School the performance of all teachers 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 School. Classroom observation will be carried out by those who are qualified teachers. In addition to formal observation, Head teachers or other leaders with responsibility for teaching standards may 'drop in' in order to evaluate the standards of teaching and learning and to check that high standards of professional performance are established and maintained. The length and frequency of 'drop in' observations will vary dependent upon circumstances. The Head teacher may delegate the right to 'drop in' to appropriate members of the leadership group.
14. Teachers (including the Head teacher) who have responsibilities outside of the classroom should also expect to have their performance of those responsibilities observed and assessed.

#### Development and Support

15. Appraisal is a supportive process which will be used to inform continuing professional development. The School wishes to encourage a culture in which all teachers take responsibility for improving their teaching through appropriate professional development. Professional development will be linked to school improvement priorities and to the ongoing professional development needs and priorities of individual teachers.

#### Feedback

16. Teachers will receive constructive feedback on their performance throughout the year and as soon as practicable after observation has taken place or other evidence has come to light. Feedback will highlight particular areas of strength as well as any areas that need attention. Where there are concerns about any aspects of the teacher's performance the appraiser will meet the teacher to:-
  - Give clear feedback to the teacher about the nature and seriousness of the concerns;
  - Give the teacher the opportunity to comment and discuss the concerns;
  - Agree any support (eg coaching, mentoring, structured observations) that will be provided to help address the specific concerns;
  - Make clear how and by when, the appraiser will review progress;
  - Explain the implications and process if no (or insufficient) improvement is made.
17. The employee should be given five days notice of the meeting and advised to contact their trade union or professional association representative. The teacher is entitled to representation of a trade union or professional association at the meeting. The School will determine whether it is appropriate to involve a member of the senior leadership team at this stage.

18. The appraiser should assemble information about the appraisee's performance as detailed on the planning and review statement. All the evidence must be shared between the appraiser and the appraisee before the review meeting to ensure an informed discussion. At the review meeting the appraiser and the appraisee should seek to achieve a shared understanding of the progress made towards meeting the performance criteria and, if appropriate, explore any issues that might have impeded the appraisee's performance.
19. The appraiser and appraisee should seek to agree the assessment of the overall performance of the appraisee against the performance criteria agreed at the beginning of the cycle. This may include, where the appraisee is eligible, making a recommendation on pay progression taking into account the pay progression criteria.

### **Transition to Capability Procedure**

20. If the appraiser is not satisfied with progress the teacher will be notified in writing that the appraisal system will no longer apply and that their performance will be managed under the capability procedure. The teacher will be invited to a formal capability meeting. Capability procedures will be conducted in accordance with Chapter 4, Section 2 of the Personnel Handbook (Capability Procedures for School Based Staff).
21. At Appendix 2 is a commentary with regard to the procedures to be followed in moving from appraisal to capability.

### **Annual Assessment**

22. **Each teacher'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).** This assessment is the end point of the annual appraisal process but performance and development priorities will be reviewed and addressed on a regular basis throughout the year in interim meetings which will take place once each term.
23. **The teacher will receive as soon as practicable after the end of the appraisal period (and have the opportunity to comment in writing on) a written appraisal report.** Written appraisal reports will be provided by 31 October for all teachers (with the exception of the Head teacher where the appraisal report will be provided by 31 December). The appraisal report will include:-
  - Details of the teacher's objectives for the appraisal period in question;
  - **An assessment of the teacher's performance of their role and responsibilities against their objectives and the relevant standards;**
  - **An assessment of the teacher's training and development needs and identification of any action that should be taken to address them;**

- **A recommendation on pay where this is relevant.** (See the advice with regard to performance pay progression);
24. The assessment of the performance and of training and development needs will inform the planning process for the next appraisal period.

## CLASSROOM OBSERVATION PROTOCOL

1. The Governing Body is committed to ensuring that classroom observation is developmental and supportive and that those involved in the process will
  - Carry out the role with professionalism, integrity and courtesy;
  - Evaluate objectively;
  - Report accurately and fairly; and
  - Respect the confidentiality of the information obtained.
2. The total period of classroom observation for any teacher will be agreed at the planning meeting early in the autumn term and will be appropriate having regard to the needs and circumstances of the teacher. In most circumstances no more than three hours observation should be necessary in one appraisal review cycle. It should be noted, however, that where it is necessary to consider moving to capability procedures then the three hours might be exceeded and Head teachers and senior leaders do have the right to “drop in” to classrooms to monitor teaching and learning.
3. Where evidence emerges about the appraisee’s teaching performance which give rise to concern during the cycle classroom observations may be arranged in addition to those recorded at the beginning of the cycle subject to a further meeting between the appraiser and the appraisee. Information gathered during the observation will be used as appropriate for a variety of purposes including to inform school self evaluation and school improvement strategies in accordance with the School’s commitment to streamlining data collection and minimising bureaucracy and workload burdens.
4. In keeping with the commitment to supportive and developmental classroom observation those being observed will be notified in advance.
5. Classroom observations will only be undertaken by persons who are qualified teachers. In addition, in this School the classroom observation will only be undertaken by those who have had adequate preparation and the appropriate professional skills to undertake observation and to provide constructive oral and written feedback and support in the context of a professional dialogue. Oral feedback will be given as soon as possible after the observation and during directed time in a suitable private environment.
6. Written feedback will be provided within five working days of the observation. If issues emerge from an observation that were not part of the focus as recorded in the planning and review statement these will be covered in the written feedback and appropriate action taken in accordance with the School’s policy.
7. The teacher will have the right to append written comments to the feedback document.

8. A Head teacher has a duty to evaluate the standards of teaching and learning and to ensure that the proper standards of professional performance are established and maintained. The Head teacher (and other members of the leadership group at the discretion of the Head teacher) have the right to 'drop in' to inform their monitoring of the quality of teaching and learning. 'Drop ins' will inform the performance management process where evidence arises which merits the revision of the appraisal planning statement in accordance with the policy of the School.

## TRANSITION FROM APPRAISAL TO THE CAPABILITY PROCEDURE

1. Lack of capability is defined as a situation in which an employee fails to perform his or her duties to a professionally acceptable standard. The required standard should be appropriate to the level of the job and the skills and experience reasonably expected of an individual in that position. Head teachers as managers will need to ensure that each member of staff has the ability, knowledge, guidance and support to perform his or her job to an adequate standard and in accordance with his or her job description.
2. For teaching staff it is possible that evidence from the appraisal management process will inform the judgement about whether to suspend the appraisal process and move to the capability procedure. The procedure is to be applied where an employee is unable to carry out the duties of his or her post because of lack of capability as assessed by reference to skill, competence, aptitude or any other physical or mental quality where the person is not wilfully underperforming. The evidence from appraisal review will be a key element in deciding when the capability procedure should be used.

### Principles

3. Where a problem is initially identified as part of the appraisal process it should be the normal practice for the appraiser (or line manager) to deal with the matter by counselling, advice, guidance, training and example. It is not intended that the capability procedure should replace the normal interchange between the immediate supervisor and a member of staff in the day to day running of the School (or department). Concerns are most likely to be raised when appraisers feed back with regard to evidence obtained as part of the appraisal process (for example, from classroom observation). Teachers should be advised to seek advice from a trade union or professional association representative.
4. This element of the transition procedure relates to paragraphs 16, 17, 18 and 19 of the model policy on teacher appraisal. In the event of a serious or ongoing concern relating to performance the appraiser, line manager or member of the senior leadership team should ask the employee to discuss the matter informally providing five working days notice of the meeting. The employee has the right to trade union or professional association representation at this stage of the process and at each review or target setting meeting thereafter. The individual should be given a written summary of the concerns indicating the date, time and location of the meeting. The purpose of the meeting will be to establish:-
  - That the employee is fully aware of the standards required
  - The standards have been set at a reasonably attainable level
  - Whether the context in which the employee works has altered significantly
  - That the volume of work is reasonable
  - Whether poor performance is a training issue which must be addressed
  - The resources and equipment available are appropriate

- What support will be given to the employee
  - The timescale for the informal stage.
5. A system of supporting and advising the employee and monitoring the achievement of agreed targets and standards must be established. Support may take the form of training, visits to other departments or schools or in some cases it may be appropriate to employ the services of a school improvement adviser, consultant or an adviser from an appropriate agency. In the case of teaching staff this may include classroom observation and feedback.
6. A record must be kept of agreed targets, support to be provided and timescales for improvement. A copy of this must be given to the appraisee. Timescales may vary dependant upon the complexities of the job and the level of support and assistance required. At the end of the agreed timescale a meeting will be held to review performance and the employee should be given five days notice of this meeting. There are several possible outcomes:-
- Performance has improved satisfactorily and targets have been met in which case no further action is required. This will be confirmed to the employee in writing. (The appraisal process will resume); or
  - Significant improvement has been made but the review period may be extended to allow the employee additional time to meet the targets set; or
  - The matter becomes formal and moves to the capability procedure because there has been unsatisfactory improvement in performance and this will be confirmed in writing. (See paragraph 20 of the model policy on teacher appraisal).
7. It will be necessary for the appraiser to consider whether the targets set need to be re-evaluated in discussion with the employee and consider what additional forms of support may be necessary to help the employee achieve the standards required. A date will be set for a formal review meeting. The letter detailing the outcome of the informal process will be sent to the employee within five working days of the meeting.