

CROWN HILLS COMMUNITY COLLEGE  
POLICY DOCUMENT

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## INTRODUCTION

Revised appraisal arrangements come into force with effect from 1 September 2012. They are set out in the Education (College Staff' Appraisal) (England) Regulations 2012 (the Appraisal Regulations) which replace the 2006 Regulations.

The Appraisal Regulations set out the principles that apply to staff in all maintained colleges. They retain the key elements of the 2006 Regulations but are less prescriptive. They provide the minimum national framework within which colleges should operate and say nothing, or very little, on many subjects on which the 2006 Regulations made detailed provision.

Colleges and local authorities must stay within the legal framework set out in the Appraisal Regulations and in other relevant legislation that affects all employers (for example legislation on equality, employment protection and data protection). Colleges and local authorities must have an appraisal policy for all staff. This policy applies to all staff, and was shared with all staff at the start of the autumn term 2012. Staff have subsequently been reminded of different aspects of the policy on the first training day of every academic year since 2012.

The Governing Body of Crown Hills Community College adopted the Local Authority policy effective from the 31<sup>st</sup> October 2012. This policy has been agreed through the Teacher Negotiating Committee (TNC).

## PURPOSE

The policy sets out the framework for a clear and consistent assessment of the overall performance of staff within schools, including the Principal. It is to support their development, raise morale and motivate them to update their skills and improve performance within the context of the college's plan for raising educational standards.

## APPLICATION OF THE POLICY

The policy applies to the Principal and to all staff and support staff employed by the college or local authority except those on contracts of less than one term and those undergoing induction (i.e. NQTs) or those support staff on a probationary period.

Appraisal in this college will be a supportive and developmental process designed to ensure that all staff have the skills and support they need to carry out their role effectively.

It will help to ensure that staff are able to continue to improve their professional practice and to develop.

## **The Appraisal Period**

The appraisal period will run for twelve months from 1<sup>st</sup> October to 30<sup>th</sup> September. Staff who are employed on a fixed term contract of less than one year and more than 3 months will have their performance appraised in accordance with the principles underpinning this policy. The length of the period will be determined by the duration of their contract.

There is flexibility to have a longer or shorter appraisal period when staff begin or end employment with a college or local authority or when unattached staff change post within the same authority. This also applies to staff returning from substantial periods of absence.

## **Appointing appraisers**

The Principal will be appraised by the Governing Body, supported by a suitably skilled and/or experienced external adviser who has been appointed by the Governing Body for that purpose.

In this college the task of appraising the Principal, including the setting of objectives, will be delegated to a sub-group consisting of three members of the Governing Body. It is recommended that governors conducting appraisals are suitably trained in this procedure.

Where a Principal has an objection on the suitability, for professional reasons, of the person to whom the Governing Body has delegated the appraiser duties s/he may, on one occasion, submit a written request to the Governing Body that the appraiser be replaced stating the reason(s) for the request. This request will be carefully considered and if possible an alternative appraiser will be offered. The Governing Body will make the final decision on the appraiser for each Principal.

The Principal, or delegate, will decide who will appraise other staff. All the appraisers for teachers must have qualified teacher status whilst all appraisers for support staff must hold a line management responsibility for the appraisee. All appraisers should be suitably trained.

In some instances it may be applicable for an appraisee to have more than one appraiser. For teachers, the student progress targets must always be appraised by a TLR holder for that subject, however professional standards can be appraised against either subject for cross-curricular teachers or by the SLT member in charge of TLT responsibilities where applicable.

Where a staff member has an objection on the suitability, for professional reasons, of the person to whom the Principal has delegated the appraiser duties s/he may, on one occasion, submit a written request to the Principal that the appraiser be replaced stating the reason(s) for the request. This request will be carefully considered and if possible an alternative appraiser will be offered. The Principal will make the final decision on the appraiser for each staff member.

## **Setting objectives**

The Principal's objectives will be set by the Governing Body sub-committee after consultation with the external adviser.

Objectives for each staff member will be set before the start of each appraisal period. This will be carried out at an appraisal planning meeting and should be clearly defined with the appraiser and staff member clear on what success will look like and how progress will be measured. The objectives will be Specific, Measurable, Achievable, Realistic and Time-bound and will be appropriate to the staff member's role and level of experience. The appraiser and staff member will seek to agree the objectives but where a joint determination cannot be made the appraiser will make the determination. If there is still disagreement the final decision will rest with the Principal, or their delegate. Objectives may be revised if circumstances change.

The objectives set for each staff member will, if achieved, contribute to the college's plans for improving the college's educational provision and performance and improving the education of students at the college. This will be ensured for example by quality assuring all objectives against the college improvement plan. There will be a maximum of three objectives set for each teacher. These will focus on student progress, a whole school initiative and the teacher standards.

All teachers must be assessed against the set of standards contained in the document called "Teachers' Standards" published by the DfE in July 2011. Before the start of each appraisal period, each teacher will be informed of the teacher standard career stage expectation against which their performance will be assessed in that appraisal period. **Greatest emphasis will be placed on meeting the Professional Practice standards followed by those involved in professional development and professional relationships. Standards referring to professional outcomes are measured through the appraisal target on student progress.** Standards around professional conduct are a necessity for all staff (Please see Career stage expectation model.)

The teacher is expected to self-assess their performance against these career stage standards prior to the appraisal meeting through use of the Blue Sky review system in line with the statutory duty related to this. This will form part of the discussion at the appraisal planning meeting. The Principal or Governing Body (as appropriate) will need to consider whether certain teachers should also be assessed against other sets of standards, published by the Secretary of State, that are relevant to them.

Student progress targets will be set against external KS4 terminal examinations wherever possible. If this is not possible then 2 year targets for the above may be set provided a formally measured interim progress point is agreed upon (i.e. controlled assessment/coursework grades or mock exam results). If no KS4 teaching is completed, then robust KS3 targets should be set against work which is rigorously standardized. Details regarding the evaluation of student success have been reviewed annually to take account of the changing accountability frameworks. These can be found separately.

All support staff must be assessed against their job description in light of their experience within the post.

For teachers who are qualified teachers by virtue of holding QTLS status, it is for the Governing Body or Principal to decide which standards are most appropriate. Such teachers may be assessed against the Teacher Standards, against any other sets of standards issued by the Secretary of State, against any other professional standards relevant to their performance or any combination of those three.

The Governing Body has agreed the pay policy of the college and has considered the implications of the appraisal policy with respect to the arrangements relating to pay in accordance with the College Pay and Conditions documents. The Governing Body will

ensure that decisions on pay progression are made by 31 December for Principals and by 30 September for other staff. Any increments awarded will be backdated to the start of the academic year in which they are considered.

## **Reviewing performance**

### **Observation**

This college believes that observation of classroom practice and other responsibilities is important both as a way of assessing staff members' performance in order to identify any particular strengths and areas for development they may have and of gaining useful information which can inform college improvement more generally. All observation will be carried out as a confidential process of constructive engagement within an atmosphere of support and co-operation. Classroom observations will take place in accordance with the local agreement on formal classroom observation and be conducted ideally in the first half of the appraisal year.

### Teachers

In this college teachers' performance will be regularly observed but the amount and type of classroom observation will depend on the individual circumstances of the teacher and the overall needs of the college. Observations will be carried out in accordance with the union guidance and be conducted ideally in the first half of the appraisal year.

Classroom observation will be carried out by those with QTS and 5 working days' notice of the date and time of the observation will be given to the staff member. Observations will also be largely carried out by observers working in pairs to provide professional development for those in observation roles and to ensure consistency of judgements. Verbal feedback will be provided by at least the end of the next college day and written feedback within 5 working days unless exceptional circumstances make this impossible. For the purpose of professional development, feedback about lesson observations will be developmental, focusing on strengths and areas for development. SLT will keep a database of observation outcomes so reports can be made to Governors and Ofsted. Lessons will be characterized in the following way:

- Highly effective
- Very effective
- Effective
- Mostly effective/RI
- Inadequate

For lessons that are graded as 'inadequate' or 'requiring improvement' the outcome will be discussed with the individual and, where appropriate, procedures put in place to rectify this situation. This may involve coaching and other interventions and will involve at least one more observation. A lesson grade of 'inadequate' or 'requires improvement' will not be seen as sufficient to meet career stage expectations of any teacher and a re-observation will be necessary.

The Principal and others with responsibility for teaching standards may "drop in" to evaluate the standards of teaching and learning and to ensure the high standards of professional performance and student progress are established and maintained. Notice will be given of drop-in observations and their completion will occur within the 3 hour observation limit.

The college will use the findings of each observation including appraisal observations for other management requirements thereby seeking to minimise the total number of occasions on which staff are observed.

The Principal should also expect to have their performance of those responsibilities observed and assessed, in line with Teachers Standards.

### Support staff

Work observations will vary in format to suit the post. TA's and cover supervisors may be observed in a specific lesson however other support staff may hold a formal discussion about a particular piece of work (which has been identified and agreed upon by the appraiser and appraisee).

A formal discussion about a particular piece of work or an observation will normally take place at least once per cycle.

In planning observation we will adhere to the following principles:

- Successful observation requires preparation and training and a clear understanding, on the part of the appraiser and appraisee, of its purpose.
- The format of the observation will depend on its purpose.
- It is important that the observer ensures that the work proceeds in as normal an atmosphere as possible.
- Full, constructive and timely feedback offers an opportunity to discuss what went well and what might be done better or differently next time.

## **Development and support**

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

The college's CPD programme will be informed by the training and development needs identified as part of the appraisal process. The Governing Body will ensure in the budget planning that, as far as possible, resources are made available in the college budget for appropriate training distributed on an equitable basis.

An account of the training and development needs of staff including the instances where it did not prove possible to provide any agreed CPD will form a part of the Principal's annual report to the Governing Body about the operation of the appraisal process in the college.

Where there are competing demands on the college budget, a decision on relative priority will be taken with regard to the extent to which:

- a) The training and support will help the college to achieve its whole school priorities and
- b) The CPD identified is essential for a staff member to meet their objectives.

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

## Feedback and Assessment

Teachers will receive constructive feedback on their performance throughout the year and as soon as practicable after an observation has taken place or other evidence has come to light. All feedback for appraisal purposes must be recorded on Blue Sky. Feedback will highlight particular areas of strength as well as any areas that need attention. This may include:

- an acknowledgment of good practice and performance, if appropriate;
- clear feedback on the nature and seriousness of any areas requiring improvement;
- providing the staff member with an opportunity to respond to the concerns;
- agreeing any support to be provided to address particular areas of concern;
- agreeing when and how progress will be reviewed

All staff will have an interim review of progress in the Spring term.

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

For teachers, this assessment will take place at two review meetings.

One should be held during Y11 release time prior to the summer holidays and assess the professional standards and whole school targets. It is advised that this conversation is recorded on the word outline document. Where staff do not have Y11 time, cover can be arranged.

The second should be held as soon as is practical following release of examinations data. This will be the end point to the annual appraisal process and the point at which an overview statement on Blue Sky should be completed. The review meetings will also form the planning meeting for the next appraisal period. Reviews may take place throughout the year if considered necessary by either party.

All staff members will receive as soon as practicable following the end of each appraisal period – and have the opportunity to comment in writing on - a written appraisal report. This will take place at an agreed review meeting. In this college, staff will receive their written appraisal reports by 30 September (31 December for the Principal).

The appraisal report, completed on Blue Sky, will include:

- details of the staff member's objectives for the appraisal period in question;
- an assessment of the staff member's performance of their role and responsibilities against their objectives and the relevant standards;
- an assessment of the staff member's professional development needs and identification of any action that should be taken to address them;
- a recommendation on pay where that is relevant (NB – pay recommendations need to be made by 31 December for Principals and by 31 September for other staff);

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

### Staff experiencing difficulties

Where a staff member is experiencing difficulties, the objective is to provide support and guidance through the appraisal process in such a way that the staff member's performance improves and the problem is therefore resolved.

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

If an appraiser identifies through the appraisal process, or via other sources of information, for example parental complaints, that the difficulties experienced by a staff member are such that, if not rectified, could lead to capability procedures, the appraiser, the Principal, or a member of the leadership team, will, as part of the appraisal process meet the staff member to:

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

The staff member's progress will continue to be monitored as part of the appraisal process and a reasonable time given for the staff member's performance to improve. This will depend upon the circumstances but will be for a minimum period of 6 weeks, with appropriate support as agreed in the Action Plan, in order that the aim of recovering and improving performance can be achieved. During this monitoring period the staff member will be given regular feedback on progress and arrangements will be made to modify the support programme if appropriate.

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

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

## **Appeals**

Staff have a right of appeal against any of the entries in the written appraisal report. Details of the appeals process are available from the Principal or from the college Governing Body.

Planning and review meetings will be held during directed time using the agreed annual time plan for all staff.

For further details, please see Annex 2.

## **General Principles Underlying This policy**

### **Confidentiality**

The appraisal process will be treated with confidentiality. However, the desire for confidentiality does not override the need for the Principal and Governing Body to quality-assure the operation and effectiveness of the appraisal system.

This college confirms that the appraisal process and any documentation generated under this process will be treated with strict confidentiality at all times. Other than the Principal and their delegate, only the appraiser and as necessary the staff member's line manager will have access to the appraisal reports. The line manager, if not the appraiser will only have access to enable the line manager to discharge his/her line management responsibilities.

### **Consistency of Treatment and Fairness**

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

### **Definitions**

Unless indicated otherwise, all references to "staff/staff member" include the Principal.

### **Delegation**

Normal rules apply in respect of the delegation of functions by Governing Bodies, Principals and local authorities.

### **Grievances**

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

### **Monitoring and Evaluation**

The Governing Body and Principal will monitor the operation and effectiveness of the college's appraisal arrangements.

### **Retention**

The Governing Body and Principal will ensure that all written or electronic appraisal records are retained in a secure place for six years and then destroyed.

## ROLES AND RESPONSIBILITIES

Summary of the main roles and responsibilities of:

- Governing Body
- Principal
- Staff member

Governors, Principals and staff all have key roles to play and responsibilities to discharge in the appraisal process. By way of a summary their main roles and responsibilities are as follows:

### **Governing Body**

- Establish the college's appraisal policy, monitor the operation and outcomes of appraisal arrangements, and review the policy and its operation every year.
- Appoint 2/3 governors to review the Principal's performance on an annual basis.
- Appoint an external adviser to advise appointed governors on the Principal's performance.
- Make decisions about pay and career progression.
- Chair of Governors should retain a copy of the Principal's appraisal statement.
- Action any request from a Principal for evidence from appraisal to be transferred if the Principal moves college mid-cycle.
- Ensure the content of the Principal's appraisal 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 college's procedures.
- Ensure appraisers are suitably trained, including governors.
- Ensure guidance and the appraisal policy is available to both appraisers and appraisees.
- Adopt the classroom observation protocol for the college.

### **Principal**

- 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 appraiser to Staff or, as appropriate, delegate the role of appraiser in its entirety.
- Retain copies of all appraisal documentation for 6 years.
- Take account of appraisal outcomes in college improvement planning and ensure the college produces and resources an effective plan for the professional development of its workforce.
- Oversee the classroom observation protocol for the whole college.
- Action any request from a staff member for evidence from appraisal to be transferred if the staff member moves college mid-cycle.
- Evaluate standards of teaching and learning and ensure proper standards of professional practice are established and maintained.
- Ensure that the staff member's appraisal statement is drafted having regard to the need for a satisfactory work/life balance.

### **Staff member**

- 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 appraiser for other staff.
- Contribute to the annual appraisal planning of other staff where appropriate.

## APPEALS

The Appeals Committee will consist of three governors none of whom are employees of the College or have been previously involved in making pay decisions.

Staff will be able to appeal to the Appeals Committee if they have not been successful and they wish to advance their case for consideration.

The arrangements for considering appeals are as follows:

A staff member may appeal against any determination in relation to his/her pay or any other decision taken by the Governing Body that affects his/her pay.

The grounds for appeal are that the person or committee by whom the decision was made –

- a) incorrectly applied any provision of the identified document/pay policy
- b) failed to have proper regard for statutory guidance;
- c) failed to take proper account of relevant evidence;
- d) took account of irrelevant or inaccurate evidence;
- e) was biased; or
- f) otherwise unlawfully discriminated against the staff member.

The order of proceedings is as follows:

1. The staff member receives written confirmation of the pay determination and where applicable the basis on which the decision was made.
2. If the staff member is not satisfied, he/she should seek to resolve this by discussing the matter informally with the decision-maker (i.e. the Principal) within 10 working days of the decision.
3. Where this is not possible, or where the staff member continues to be dissatisfied, he/she may follow a formal appeal process.
4. The staff member should set down in writing the grounds for questioning the pay decision (which must relate to the grounds as set out above) and send it to the Pay Committee who made the determination, within 10 working days of the notification of the decision being appealed against or of the outcome of the discussion referred to above.
5. The committee who made the determination should provide a hearing within 10 working days of receipt of the written grounds for questioning the pay decision to consider this and give the staff member an opportunity to make representations in person. Following the representation hearing, the employee should be informed in writing of the hearing's decision and the right to appeal immediately. A staff member is entitled to be accompanied by a colleague or representative at any formal appeal hearing.
6. A written appeal should be submitted within 5 working days of the decision. Any appeal should be heard by a panel of three governors who were not involved in the original determination, normally within 20 working days of the receipt of the written appeal notification and give the staff member the opportunity to make representation in person. This may be as early as possible after receipt of written appeal by mutual agreement. The decision of the appeal panel will be given in writing and, where the appeal is rejected, will include a note of the evidence considered and the reasons for the decision. The decision is final and there is no recourse to the staff grievance procedure.