



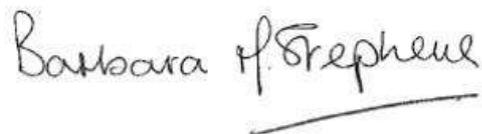
## **ENERGY COAST UTC**

# **PERFORMANCE MANAGEMENT AND APPRAISAL POLICY**

**2017-2019**

**Approved:** Barbara Stephens, Chair of Governors

**Signed:**



**Date:** September 2017

**Date for Review:** September 2019

**Revision History:**

Revision History			
Revision	Date	Owner	Summary of Changes
0	March 2016	LM	Updated content
1	September 2016	LM	Updated content
2	September 2017	CT	Updated content
3			
4			



**PERFORMANCE MANAGEMENT AND APPRAISAL  
POLICY  
FOR SUPPORT STAFF  
AT  
ENERGY COAST UTC**

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## 1. PURPOSE

Energy Coast UTC is committed to appraisal as a tool to help develop all staff with the aim of improving the learning experience for all students. This policy provides a framework for all support staff to agree and review priorities, receive feedback on their performance and agree any training and development requirements.

This policy covers appraisal and applies to all support staff employed by the College, except those on contracts of less than one term and those who are subject to capability procedures.

As there are no National Standards for support staff, these will be replaced by 'College expectations'. To a large extent, the College expectations for a support role will be found within the job description for the role, and additional information is available in other relevant documents such as the support staff grade definitions.

Appraisal in the College will be a supportive and developmental process designed to ensure that all support staff have the skills and support they need to carry out their role effectively. It will help to ensure that support staff are able to undertake their role effectively.

The policy sets out the framework for a clear and consistent assessment of the overall performance of support staff and for supporting their development needs within the context of the College Improvement Plan and their own professional needs. The assessment of individual performance throughout the cycle, against the performance criteria specified in the planning and review statement, will be the basis on which the pay recommendation is made by the appraiser.

## 2. SCOPE

This Appraisal Policy covers all support staff employed at the Energy Coast UTC. This policy is also clearly aligned with:

- The College Improvement Plan
- The College Performance Management and Appraisal Policy for Teachers
- DfE guidance on appraisal in schools

The College appraisal systems will be monitored and validated through the Self Evaluation Form, and through the College Improvement Plan.

Staff and governors have been consulted about the introduction of this policy and it will be evaluated and reviewed annually.

The Governing Body is committed to ensuring that the appraisal process is fair and non-discriminatory no longer has to be reported unless there is a concern:

Race  
Gender  
Sexual Orientation  
Disability  
Religion and belief  
Age  
Part-time contracts  
Trade Union membership

### 3. ROLES AND RESPONSIBILITIES

Appraisal is a shared responsibility. The following stakeholders should adopt particular roles and responsibilities within the process:

**The Governing Body** has a strategic role in agreeing and monitoring the appraisal systems of the College. The Governing Body also has responsibility for setting the key objectives within the College Improvement Plan, which act as drivers for this Policy.

**The Principal** is responsible for implementing, monitoring and evaluating this Policy. The Principal is also responsible for assigning Appraisal Team Leaders for particular groupings of staff.

**The Appraisal Team Leader** is responsible for scheduling appraisal review meetings and providing the necessary paperwork.

**Members of Staff** are responsible for working together with their Team Leader to agree objectives, agree and discuss feedback, agree training and development requirements and to ensure the member of staff's job description is current.

### 4. APPOINTMENT OF APPRAISERS FOR SUPPORT STAFF

The maximum number of reviews that any Appraisal Team Leader will be expected to undertake per cycle is five.

Where a member of staff has more than one line manager the Principal will determine which line manager will be best placed to manage and review their performance.

Where a member of staff is of the opinion that the person to whom the Principal has delegated the appraiser's duties is unsuitable for professional reasons, he/she may

submit a written request to the Principal for that appraiser to be replaced, stating those reasons.

Where it becomes apparent that the appraiser will be absent for the majority of the cycle, or is unsuitable for professional reasons, the Principal may perform the duties himself/herself or delegate them in their entirety to another senior member of staff.

An appraisal cycle will not begin again in the event of the appraiser being changed.

All line managers to whom the Principal has delegated the role of appraiser will receive appropriate preparation for that role.

## **5. CONSISTENCY OF TREATMENT AND FAIRNESS**

The Governing Body is committed to ensuring consistency of treatment and fairness in the operation of appraisal. To ensure this, the following provisions are made in relation to moderation, quality assurance and objective setting.

The Principal has determined that s/he will delegate the appraiser role for some or all support staff for whom s/he is not the line manager. In these circumstances the Principal will moderate a sample of planning statements to check that the plans recorded:

- Are consistent between those who have similar experience and similar levels of responsibility; and
- Comply with this policy, the regulations and the requirements of equality legislation.

## **6. THE APPRAISAL PROCESS**

The performance of each member of staff will be reviewed and objectives agreed on an annual basis. This must be completed for all members of support staff by 31<sup>st</sup> October. The Appraisal cycle will run from 1<sup>st</sup> November to 31<sup>st</sup> October. The review will take place between the member of staff and their Team Leader, and will be recorded using the Support Staff Performance and Review Form, which can be found in Appendix 1 of this document.

The timetable for appraisal reviews will be published annually by the Principal. It is the responsibility of the Appraisal Team Leader to set and agree a specific date and time with the member of staff. (n.b. The review must take place within the usual working pattern of the member of staff.)

The aims of the Appraisal Policy, which should be addressed as part of the review, are as follows:

To assist staff in performing their job to the best of their ability and maximising their contribution to the objectives of the College within the College Improvement Plan;  
To identify individual training and development requirements;  
To highlight the potential that each individual has to develop within his/her current position;  
To ensure the member of staff has a current and relevant job description.

All appraisal reviews should take place in private and should have no interruptions. Confidentiality should also be agreed and be inherent within the process.

The cycle will start with a planning meeting and will end with a review meeting. These two meetings may be combined to form a single meeting that will mark the end of one cycle and the start of the next cycle.

Members of support staff employed on a fixed term contract of 1 term or more will have their performance appraised in accordance with the principles underpinning the provisions of this policy. The length of the cycle will be determined by the duration of their contract.

Where a member of support staff starts employment at the College part-way through a cycle, the Principal shall determine the length of the first cycle for that member of staff with a view to bringing his/her cycle into line with the cycle for other support staff at the College as soon as possible.

Where a member of support staff transfers to a new post within the College part-way through a cycle, the Principal shall determine whether the cycle shall begin again and whether to change the appraiser.

## **7. OBJECTIVE SETTING AND PERFORMANCE CRITERIA**

At the start of the cycle, the appraiser and member of support staff will have a planning meeting during which:

Objectives will be set;

Performance criteria will be determined;

Training and support needs will be determined;

Details of what data will be used to inform the review of performance and how it will be gathered will be determined.

All appraisers are expected to explore the alignment of objectives for the member of staff with the priorities and plans of the College. The objectives should also reflect the Job Description and support staff grade definitions.

The objectives set will be rigorous, challenging, achievable, time-bound, fair and equitable in relation to support staff with similar roles/responsibilities and experience. They shall also take account of professional aspirations of the member of staff and any relevant pay progression criteria, and should be such that, if they are achieved, they will contribute to the objectives within the College Improvement Plan.

The appraisal cycle is annual, but on occasions it may be appropriate to set objectives that will cover a period over more than one cycle. In such cases, interim performance criteria for the end of the cycle, as well as performance criteria for the overall objective, will be recorded in the planning and review statement at the start of the cycle.

The appraiser and member of support staff will seek to agree the objectives, but where a joint determination cannot be made the appraiser will make the determination.

All members of support staff will have an objective linked to the whole College Improvement Plan. The number of objectives per cycle should be no more than three.

Though appraisal is an assessment of overall performance of staff, objectives cannot cover the full range of the roles/responsibilities of a member of support staff. Objectives will, therefore, focus on the priorities for an individual for the cycle. At the review stage it will be assumed that those aspects of the roles/responsibilities not covered by the objectives (or any amendment to the statement which may have been necessary in accordance with the provisions of the regulations) have been carried out satisfactorily.

The content of the completed Support Staff Performance and Review Form should be agreed and signed by both the Team Leader and member of staff and forwarded to the Principal.

The training and development requirements identified within the review and captured on the Support Staff Performance and Review Form will be considered by the Principal and will inform the staff training and Improvement Plan for the College.

## **8. TRANSITION TO CAPABILITY**

If the appraiser is not satisfied with progress, the member of staff will be notified in writing that the appraisal system will no longer apply and that their performance will be managed under the capability procedure, and will be invited to a formal capability meeting. The Support Staff Capability Policy provides details of the capability procedures.

## **9. ANNUAL ASSESSMENT**

The performance of each member of support staff will be formally assessed in respect of each appraisal period.

This assessment is the end point to the annual appraisal process, but performance and development priorities will be reviewed and addressed on a regular basis throughout the year in interim meetings which will take place.

The member of staff 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 by 31 October. The appraisal report will include:

Details of the objectives for the appraisal period in question;

An assessment of the performance of the member of staff, of their role and responsibilities against their objectives and the relevant standards;

An assessment of the professional development needs of the member of staff and identification of any action that should be taken to address them;

A recommendation on pay where that is relevant.

## **10. TRAINING AND SUPPORT**

The CPD programme of the College will be informed by the training and development needs identified in Part 3 of the Support Staff Performance and Review Form. Individualised CPD will be provided when necessary.

The Governing Body will ensure in the budget planning that, as far as possible, appropriate resources are made available in the College budget for training and support agreed for members of staff.

Appraisers will be made aware of the College budget for CPD prior to the planning meeting, and must take this into account when discussing the training and support necessary to enable the member of staff to meet their objectives.

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

- The extent to which the CPD identified is essential for a member of staff to meet their objectives; and
- The extent to which the training and support will help the College to achieve its priorities.

The priorities of the College will have precedence.

Members of support staff will not be held accountable for failing to make good progress towards meeting their performance criteria where the support recorded in the planning statement has not been provided.

An account of the training and development needs of support staff in general, 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 appraisal in the College.

## **11. CONCERNS**

Within 10 days of the review, staff can raise and record their concerns with aspects of the appraisal review with the Principal. A meeting will then be arranged as soon as reasonably practicable to discuss the areas of concern and agree a finalised appraisal.

## **12. EVALUATION OF THE POLICY**

The Principal will provide an annual report to the Governing Body which evaluates the effectiveness of the policy and its impact on the College Improvement Plan.

## **13. REVIEW OF THE POLICY**

The Governing Body will review the Performance Management and Appraisal Policy every academic year.

The Governing Body will take account of the Principal's report in its review of the Performance Management and Appraisal Policy. The policy will be revised as required to introduce any changes in regulation and statutory guidance to ensure that it is always up-to-date.

To ensure all staff are fully conversant with the appraisal arrangements, all new staff who join the College will be briefed on them as part of their introduction to the College.

## **14. ACCESS TO DOCUMENTATION**

Appraisal documentation can be accessed on the College Shared drive.

## APPENDIX A

### ENERGY COAST UTC SUPPORT STAFF PERFORMANCE AND DEVELOPMENT FORM

**Strictly Confidential**

<b>Name of Staff Member</b>		<b>Name of Appraiser</b>			
<b>Job Title</b>		<b>Job Title</b>			
<b>Occupational Grouping</b>		<b>Date</b>		<b>Time</b>	

#### PART 1 PREVIOUS YEAR

<b>INDIVIDUAL AIMS AND OBJECTIVES (Overall performance against previous year)</b>		
<b>Objective leading to College development was:</b>		
<b>Targets</b> What targets were set during the previous year?	<b>Met</b> (Y/N)	<b>How were these met?</b> Including main achievements, strengths and areas for development.
<b>Objective leading to personal development was:</b>		

<b>Targets</b>	<b>Met</b>	<b>How were these met?</b>
What targets were set during the previous year?	(Y/N)	Including main achievements, strengths and areas for development.

**PART 2 PLANNING FORM 2016-2017 CYCLE**

<b>TEAM OBJECTIVE (From College Improvement Plan)</b>
<p><b>1. Team objective leading to College development is:</b></p> <p><b>2. What success will look like:</b></p> <p><b>3. Timescales for completion:</b></p> <p><b>4. Evidence to be provided:</b></p>

**INDIVIDUAL OBJECTIVE LINKED TO THE JOB DESCRIPTION (Include any carried forward from previous year)**

**1. Personal CPD objective leading to College development is:**

**2. What success will look like:**

**3. Timescales for completion:**

**4. Evidence to be provided:**

**PART 3**

**LEARNING/TRAINING/DEVELOPMENT REQUIRED TO SUPPORT OBJECTIVES**

<b>Objective</b>	<b>Knowledge/Skill Required</b>	<b>Proposed Method of Learning/Training/Development</b>	<b>Responsibility of</b> (Principal, staff member, team, etc)	<b>Priority</b> 1=High 2=Medium 3=Low	<b>Timescales to achieve by</b>

## **PART 4 REVIEW 1**

**Assessment of performance for the appraisal 2016-2017 cycle:**

**Record of work undertaken:**

**Objective leading to College development:  
How is this being met?**

**Objective leading to personal CPD development:  
How is this being met?**

**Signed: Appraiser**

**Signed: Member of Staff**

**Comment: Member of Staff**

**Comment: Appraiser**

## **PART 5 REVIEW 2**

**Assessment of performance for the appraisal 2016-2017 cycle:**

**Record of work undertaken:**

**Objective leading to College development:  
How is this being met?**

**Objective leading to personal CPD development:  
How is this being met?**

**Signed: Appraiser**

**Signed: Member of Staff**

**Comment: Member of Staff**

**Comment: Appraiser**

## **PART 6 FINAL REVIEW**

**Assessment of performance for the appraisal 2016-2017 cycle:**

**Record of work undertaken:**

**Objective leading to College development:**

**How has this been met?**

**Objective leading to personal CPD development:**

**How has this been met?**

**Job Description Updates**

**List Amendments to be Made (if any)**

**Date Amended**

**Signed: Appraiser**

**Signed: Member of Staff**

**Comment: Member of Staff**

**Comment: Appraiser**



**PERFORMANCE MANAGEMENT AND  
APPRAISAL POLICY FOR TEACHERS  
AT ENERGY COAST UTC**

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- E. General Principles Underlying the Policy

## 1. PURPOSE

This policy sets out the framework for a clear and consistent assessment of the overall performance of teachers, including the Principal, and for supporting their development within the context of the College's plan for improving educational provision and performance, and the standards expected of teachers. It also sets out the arrangements that will apply when teachers fall below the levels of competence that are expected of them.

This policy covers appraisal and applies to the Principal and to all teachers employed by the College, except those on contracts of less than one term, those undergoing induction (*ie NQTs*) and those who are subject to capability procedures.

Appraisal in the College 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.

The policy sets out the framework for a clear and consistent assessment of the overall performance of teachers and the Principal, and for supporting their development needs within the context of the College Improvement Plan and their own professional needs. Assessment of performance throughout the cycle, against the performance criteria specified in the planning and review statement will be the basis on which the pay recommendation is made by the appraiser, where teachers are eligible for pay progression.

This policy should be read in conjunction with the College Pay Policy which provides details of the arrangements relating to teachers' pay in accordance with the School Teachers' Pay and Conditions Document, where appropriate, and with the Teachers' Standards (2012).

## 2. SCOPE

The Governing Body is committed to ensuring that the appraisal process is fair and non-discriminatory and the following monitoring data will be included in the Principal's report because they represent the possible grounds for unlawful discrimination:

- Race
- Gender
- Sexual Orientation
- Disability
- Religion and belief
- Age
- Part-time contracts
- Trade Union membership

The College Improvement Plan and the College Self Evaluation Form are key documents for the appraisal process.

All appraisers are expected to explore the alignment of teachers' objectives with the priorities and plans of the College. The objectives should also reflect teachers' professional aspirations and the Teachers' Standards.

### **3. ROLES AND RESPONSIBILITIES**

The Governing Body is responsible for monitoring appraisal arrangements, for appointing governors as appropriate, as appraisers for the Principal, and for undertaking action in respect of any appeals.

The Chair of Governors is responsible for retaining documentation relating to the Principal's appraisal, and for actioning any requests to forward such documentation.

The Principal is responsible for reviewing, or assigning appraisers for all teachers, retaining copies of all documentation relating to teachers' appraisal and actioning any requests to forward such documentation, and for reporting annually to the Governing Body about appraisal.

Teachers are required to act as appraisers if this role has been delegated to them.

All teachers, including the Principal, are required to play an active role in their own appraisal.

### **4. APPOINTMENT OF APPRAISERS FOR THE PRINCIPAL**

The Governing Body is the appraiser for the Principal and to discharge this responsibility on its behalf, may appoint a sub-committee of 2 or 3 governors and/or appoint a suitably experienced external appraiser.

Where a Principal is of the opinion that any person appointed by the Governing Body under this regulation is unsuitable for professional reasons, he/she may submit a written request to the Governing Body for that person to be replaced, stating those reasons.

### **5. APPOINTMENT OF APPRAISERS FOR TEACHERS**

In the case where the Principal is not the teacher's line manager he/she may delegate the duties imposed upon the appraiser, in their entirety, to the teacher's line manager.

The Principal will be the appraiser for all those teachers he/she directly line manages and will delegate the role of appraiser in its entirety to the relevant line managers for some or all other teachers.

The maximum number of reviews that any line manager will be expected to undertake per cycle is five.

Where a teacher has more than one line manager the Principal will determine which line manager will be best placed to manage and review the teacher's performance.

Where a teacher is of the opinion that the person to whom the Principal has delegated the appraiser's duties is unsuitable for professional reasons, he/she may submit a written request to the Principal for that appraiser to be replaced, stating those reasons.

Where it becomes apparent that the appraiser will be absent for the majority of the cycle, or is unsuitable for professional reasons, the Principal may perform the duties himself/herself or delegate them in their entirety to another teacher. Where this teacher is not the teacher's line manager the teacher will have an equivalent or higher status in the staffing structure to the teacher's line manager.

An appraisal cycle will not begin again in the event of the appraiser being changed.

All line managers to whom the Principal has delegated the role of appraiser will receive appropriate preparation for that role.

## **6. THE APPRAISAL CYCLE**

The performance of teachers must be reviewed on an annual basis. Performance planning and reviews must be completed for all teachers by 31<sup>st</sup> October and for the Principal by 31<sup>st</sup> December.

The Appraisal cycle will run from 1<sup>st</sup> November to 31<sup>st</sup> October for teachers, and from 1<sup>st</sup> January to 31<sup>st</sup> December for the Principal.

The cycle will start with a planning meeting and will end with a review meeting. These two meetings may be combined to form a single meeting that will mark the end of one cycle and the start of the next cycle.

Teachers who are employed on a fixed term contract of 1 term or more will have their performance appraised in accordance with the principles underpinning the provisions of this policy. The length of the cycle will be determined by the duration of their contract.

Where a teacher starts employment at the College part-way through a cycle, the Principal (or where the teacher is the Principal, the Governing Body) shall determine the length of the first cycle for that teacher, with a view to bringing his/her cycle into line with the cycle for other teachers at the College as soon as possible.

Where a teacher transfers to a new post within the College part-way through a cycle, the Principal (or where the teacher is the Principal, the Governing Body) shall determine whether the cycle shall begin again and whether to change the appraiser.

## **7. CONSISTENCY OF TREATMENT AND FAIRNESS**

The Governing Body is committed to ensuring consistency of treatment and fairness in the operation of appraisal. To ensure this, the following provisions are made in relation to

Policy Reviewed: September 2016 Approved GB: September 2016 Next Review: September 2017

moderation, quality assurance and objective setting.

### **7.1 Quality Assurance – Teachers Other than the Principal**

If the Principal has determined that s/he will delegate the appraiser role for some or all teachers for whom s/he is not the line manager, the Principal will moderate a sample of planning statements to check that the plans recorded:

- Are consistent between those who have similar experience and similar levels of responsibility; and
- Comply with this policy, the regulations and the requirements of equality legislation.

### **7.2 Quality Assurance – Principal**

The Governing Body will quality assure the Principal's planning statement.

The Governing Body will review the quality assurance processes when the Performance Management and Appraisal Policy is reviewed.

## **8. OBJECTIVE SETTING AND PERFORMANCE CRITERIA**

At the start of the cycle, the appraiser and teacher will have a planning meeting during which:

Objectives will be set;

Performance criteria will be determined;

Training and support needs will be determined;

Details of what will be used to inform the review of performance and how it will be gathered will be determined. Evidence will consist of records of formal lesson observations, analysis of data capture, analysis of work scrutiny, progress and outcomes for students. Lesson observations will be in accordance with the Classroom Observation Protocol (see Appendix A).

All appraisers are expected to explore the alignment of teachers' objectives with the priorities and plans of the College. The objectives should also reflect teachers' professional aspirations and the Teachers' Standards (Appendix B).

The objectives set will be rigorous, challenging, achievable, time-bound, fair and equitable in relation to teachers with similar roles/responsibilities and experience. They shall also take account of the teacher's professional aspirations and any relevant pay progression criteria, and should be such that, if they are achieved, they will contribute to improving the progress and outcomes of students at the College.

Teachers, including the Principal, whose posts have responsibilities outside of the classroom, should also expect to have their performance of those responsibilities observed and assessed.

The appraisal cycle is annual, but on occasions it may be appropriate to set objectives that will cover a period over more than one cycle. In such cases, interim performance criteria for the end of the cycle, as well as performance criteria for the overall objective, will be recorded in the planning and review statement at the start of the cycle.

The appraiser and teacher will seek to agree the objectives, but where a joint determination cannot be made the appraiser will make the determination.

All teachers, including the Principal, will have an objective linked to the whole College Improvement Plan. The number of objectives per cycle should be no more than three.

Though appraisal is an assessment of overall performance of teachers and the Principal, objectives cannot cover the full range of a teacher's roles/responsibilities. Objectives will, therefore, focus on the priorities for an individual for the cycle. At the review stage it will be assumed that those aspects of the teacher's roles/responsibilities not covered by the objectives (or any amendment to the statement which may have been necessary in accordance with the provisions of the regulations) have been carried out satisfactorily.

## **9. OBSERVATION**

Observation of classroom practice and other responsibilities are important both as a way of assessing teachers' performance in order to identify any particular strengths and areas for development they may have and of gaining useful information which can inform College development and improvement more generally. All observation will be carried out in a supportive fashion. (Appendix A)

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. Classroom observation will be carried out by those with QTS. In addition to formal observation, the Principal and/or other leaders with responsibility for teaching standards will undertake Drop In/ 'Learning Walks' in order to evaluate the standards of teaching and to check that high standards of professional performance are established and maintained. The length and frequency of observations through Drop In/ 'Learning Walks' will vary depending on specific circumstances.

## **10. FEEDBACK**

Teachers will receive constructive feedback on their performance throughout the year and as soon as practicable after observation, data capture, work scrutiny has taken place or other evidence has come to light (Appendix A provides details). 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 formally 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 those specific concerns;

Write a clear support action plan with SMART targets and clear success criteria  
Make clear how, and by when, the appraiser will review progress;  
Explain the implications and process if no – or insufficient – improvement is made.

When progress is reviewed, if the appraiser is satisfied that the teacher has made, or is making, sufficient improvement, the appraisal process will continue as normal, with any remaining issues continuing to be addressed through that process.

## **11. TRANSITION TO CAPABILITY**

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, and will be invited to a formal capability meeting. The Capability Policy provides details of the capability procedures.

## **12. ANNUAL ASSESSMENT**

Each teacher'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 sub-group of Governors and/or the external adviser.

This assessment is the end point to the annual appraisal process, but performance and development priorities will be reviewed and addressed on a regular basis throughout the year in interim meetings which will take place.

The teacher 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 by 31 October (31 December for the Principal). 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 professional development needs and identification of any action that should be taken to address them;

A recommendation on pay where that is relevant.

## **13. TRAINING AND SUPPORT**

The CPD programme of the College will be informed by the training and development needs identified in the CPD Record of the teachers' planning and review statements. Training and support will be personalised to the needs of individual teachers, as well as the needs of a specific department.

The Governing Body will ensure in the budget planning that, as far as possible, appropriate resources are made available in the College budget for training and support agreed for teachers.

Appraisers will be made aware of the College budget for CPD prior to the planning meeting, and must take this into account when discussing the training and support necessary to enable the teacher to meet their objectives.

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

- The extent to which the CPD identified is essential for a teacher to meet their objectives; and
- The extent to which the training and support will help the College to achieve its priorities.

The priorities of the College will have precedence.

Teachers will not be held accountable for failing to make good progress towards meeting their performance criteria where the support recorded in the planning statement has not been provided.

An account of the training and development needs of teachers in general, 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 appraisal in the College.

## **14. APPEALS**

At specified points in the appraisal process, the teacher and the Principal have a right of appeal against any of the entries in their planning and review statements. Where a teacher wishes to appeal on the basis of more than one entry this would constitute one appeal hearing.

They may appeal in writing within five working days of receiving formal notification of the decision setting out at the same time the grounds for appeal.

Appeals will be heard without unreasonable delay and, where possible, at an agreed time and place. The same arrangements for notification and right to be accompanied by a companion will apply as with formal capability and review meetings and, as with other formal meetings, notes will be taken and a copy sent to the teacher.

The appeal will be dealt with impartially and, wherever possible, by managers or governors who have not previously been involved in the case.

The teacher will be informed in writing of the results of the appeal hearing as soon as possible.

## **15. CONFIDENTIALITY AND RETENTION OF DOCUMENTATION**

The whole appraisal process and the statements generated under it, in particular, will be treated with strict confidentiality at all times. Only the teacher's line manager (or, where he/she has more than one, each of his/her line managers) will be provided with access to the teacher's plan recorded in his/her statement, upon request, where this is necessary

to enable the line manager to discharge his/her line management responsibilities. Teachers will be told who has requested and has been granted access.

The CPD co-ordinator for the College will be provided with details of the CPD training and support requirements of all teachers, including the Principal.

Appraisal planning and review statements will be retained for a minimum period of 6 years.

In the event of a teacher, or the Principal, moving to another College/school, he/she has the right to request that their planning and review statement be forwarded to their new College/school. If such a request is not made the statement will be retained as detailed above.

## **16. REVIEW OF THE POLICY**

The Governing Body will review the Appraisal Policy every academic year.

The Governing Body will take account of the Principal's report in its review of the Performance Management and Appraisal Policy. The policy will be revised as required to introduce any changes in regulation and statutory guidance to ensure that it is always up-to-date.

To ensure teachers are fully conversant with the appraisal arrangements, all new teachers who join the College will be briefed on them as part of their introduction to the College.

## **17. ACCESS TO DOCUMENTATION**

Appraisal documentation can be accessed on the College Shared drive.

# APPENDICES

## APPENDIX A

### CLASSROOM OBSERVATION PROTOCOL

1. The Governing Body is committed to ensuring that classroom observation is developmental and supporting and that those involved in the process will:
  - Carry out the role with professionalism, integrity and courtesy;
  - Ensure all observers have QTS;
  - Evaluate objectively;
  - Report accurately and fairly; and
  - Respect the confidentiality of the information gained.

The total period for classroom observation arranged for any teacher in respect of appraisal will not exceed 3 hours per cycle, having regard to the individual circumstances of the teacher. There is no requirement to use all of the 3 hours. The amount of observation for each teacher will reflect and be proportionate to the needs of the individual. This will be determined by staff meeting the Teachers' Standards appropriate to their scale and their specific teaching and learning responsibility.

2. The arrangements for classroom observation will be included in the planning and review statement or/and the teaching and learning policy which will indicate/specify:
  - The amount of observation;
  - Its primary purpose;
  - Any particular aspects of the teacher's performance which will be assessed;
  - The duration of the observation;
  - When during the appraisal cycle the observation will take place;
  - Who will conduct the observation.
3. Where evidence emerges about the teacher's teaching performance which gives 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 revision meeting being held in accordance with the appraisal regulations.
4. Information gathered during the observation will be used, as appropriate, for a variety of purposes including to inform College self-evaluation and College development strategies in accordance with the commitment to streamline data collection and minimise bureaucracy and workload burdens on staff.
5. In keeping with the commitment to supportive and developmental classroom observation, those being observed will be notified in advance.
6. Classroom observations will only be undertaken by persons with QTS. In addition, classroom observation will only be undertaken by those who have had adequate preparation and have the appropriate professional skills to undertake observation and provide

constructive oral and written feedback and support, in the context of professional dialogue between colleagues.

7. Oral feedback will be given as soon as possible after the observation and no later than the end of the following working day. It will be given during directed time in a suitable private environment.
8. Written feedback will be provided within 5 working days of the observation taking place.
9. If issues emerge from an observation that were not part of the focus of the observation, as recorded in the planning and review statement, these will also be covered in the written feedback and appropriate action taken in accordance with the regulations and guidance.
10. The written record of feedback will include the date on which the observation took place, the lesson observed and the length of the observation.
11. The teacher has the right to append written comments on the feedback document. No written notes other than the written feedback will be kept.
12. The Principal has a duty to evaluate the standards of teaching and learning and to ensure that proper standards of professional performance are established and maintained. The Principal has a right to undertake 'Learning Walks' to inform their monitoring of the quality of learning. Clearly the appraisal arrangements are integral to fulfilling this duty and the Principal may consider the classroom observations he/she have agreed for appraisal are sufficient and that a 'Learning Walk' will not be needed.
13. Drop In/'Learning Walks' will be undertaken by the Principal supported by the following appropriate and designated member(s) of the extended leadership team:
  - Vice Principals
  - Directors of Learning

## APPENDIX B



Department  
for Education

# Teachers' Standards

### PREAMBLE

Teachers make the education of their pupils their first concern, and are accountable for achieving the highest possible standards in work and conduct. Teachers act with honesty and integrity; have strong subject knowledge, keep their knowledge and skills as teachers up-to-date and are self-critical; forge positive professional relationships; and work with parents in the best interests of their pupils.

### PART ONE: TEACHING

A teacher must:

#### 1 Set high expectations which inspire, motivate and challenge pupils

- establish a safe and stimulating environment for pupils, rooted in mutual respect
- set goals that stretch and challenge pupils of all backgrounds, abilities and dispositions
- demonstrate consistently the positive attitudes, values and behaviour which are expected of pupils

#### 2 Promote good progress and outcomes by pupils

- be accountable for pupils' attainment, progress and outcomes
- be aware of pupils' capabilities and their prior knowledge, and plan teaching to build on these
- guide pupils to reflect on the progress they have made and their emerging needs
- demonstrate knowledge and understanding of how pupils learn and how this impacts on teaching
- encourage pupils to take a responsible and conscientious attitude to their own work and study.

#### 3 Demonstrate good subject and curriculum knowledge

- have a secure knowledge of the relevant subject(s) and curriculum areas, foster and maintain pupils' interest in the subject, and address misunderstandings
- demonstrate a critical understanding of developments in the subject and curriculum areas, and promote the value of scholarship
- demonstrate an understanding of and take responsibility for promoting high standards of literacy, articulacy and the correct use of standard English, whatever the teacher's specialist subject
- if teaching early reading, demonstrate a clear understanding of systematic synthetic phonics
- if teaching early mathematics, demonstrate a clear understanding of appropriate teaching strategies.

#### 4 Plan and teach well structured lessons

- impart knowledge and develop understanding through effective use of lesson time
- promote a love of learning and children's intellectual curiosity
- set homework and plan other out-of-class activities to consolidate and extend the knowledge and understanding pupils have acquired
- reflect systematically on the effectiveness of lessons and approaches to teaching
- contribute to the design and provision of an engaging curriculum within the relevant subject area(s).

#### 5 Adapt teaching to respond to the strengths and needs of all pupils

- know when and how to differentiate appropriately, using approaches which enable pupils to be taught effectively
- have a secure understanding of how a range of factors can inhibit pupils' ability to learn, and how best to overcome these
- demonstrate an awareness of the physical, social and intellectual development of children, and know how to adapt teaching to support pupils' education at different stages of development
- have a clear understanding of the needs of all pupils, including those with special educational needs; those of high ability; those with English as an additional language; those with disabilities; and be able to use and evaluate distinctive teaching approaches to engage and support them.

#### 6 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.

#### 7 Manage behaviour effectively to ensure a good and safe learning environment

- have clear rules and routines for behaviour in classrooms, and take responsibility for promoting good and courteous behaviour both in classrooms and around the school, in accordance with the school's behaviour policy
- have high expectations of behaviour, and establish a framework for discipline with a range of strategies, using praise, sanctions and rewards consistently and fairly
- manage classes effectively, using approaches which are appropriate to pupils' needs in order to involve and motivate them
- maintain good relationships with pupils, exercise appropriate authority, and act decisively when necessary.

#### 8 Fulfil wider professional responsibilities

- make a positive contribution to the wider life and ethos of the school
- develop effective professional relationships with colleagues, knowing how and when to draw on advice and specialist support
- deploy support staff effectively
- take responsibility for improving teaching through appropriate professional development, responding to advice and feedback from colleagues
- communicate effectively with parents with regard to pupils' achievements and well-being.

### PART TWO: PERSONAL AND PROFESSIONAL CONDUCT

A teacher is expected to demonstrate consistently high standards of personal and professional conduct. The following statements define the behaviour and attitudes which set the required standard for conduct throughout a teacher's career.

- Teachers uphold public trust in the profession and maintain high standards of ethics and behaviour, within and outside school, by
  - treating pupils with dignity, building relationships rooted in mutual respect, and at all times observing proper boundaries appropriate to a teacher's professional position
  - having regard for the need to safeguard pupils' well-being, in accordance with statutory provisions
  - showing tolerance of and respect for the rights of others
  - not undermining fundamental British values, including democracy, the rule of law, individual liberty and mutual respect, and tolerance of those with different faiths and beliefs
  - ensuring that personal beliefs are not expressed in ways which exploit pupils' vulnerability or might lead them to break the law.
- Teachers must have proper and professional regard for the ethos, policies and practices of the school in which they teach, and maintain high standards in their own attendance and punctuality.
- Teachers must have an understanding of, and always act within, the statutory frameworks which set out their professional duties and responsibilities.

## APPENDIX C

### Performance Management and Appraisal Planning Statement for a Pre and Post Threshold Teacher

<b>Teacher:</b>	<b>Reviewer:</b>
<b>Post details:</b>	<b>Date:</b>
	<b>Current pay scale point</b>

Objective	Achieved			Success Criteria / Milestones	Teaching Standards
	Y	N	Pa		
Objective One					<hr/> <hr/>

					_____
<b>Objective Three</b>					

<b>Post Threshold teacher/TLR post Objective 4</b>					
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Interim Meetings	Evidence	Notes
<b>Date</b> <b>Autumn Term</b> <b>(end of)</b>		
<b>Spring term</b>		
<b>Summer term</b>		

<b>Summary Assessment of Performance for this Performance Management and Appraisal Cycle</b>
<b>Achievement of Teachers' Standards</b> <i>Strengths and areas for development</i>

**Overall Performance**

*Strengths and Areas for Development*

**Teacher Comments**

**From September**  
**Initial pay recommendation (refer to College Pay Policy)**

*Teachers on main pay scale are eligible for pay progression if they are fulfilling the Teachers' Standards and meeting the objectives set*

**Teacher Signature**

**Reviewer Signature**

## APPENDIX D

### CPD RECORD

A copy of this should be sent to the CPD Co-ordinator to support planning of future training and development.

<b>Name of Member of Staff:</b>
<b>Training and Development Needs:</b>

<b>Action to be Taken:</b>
<b>Timescale:</b>
<b>Signed Appraiser:</b>
<b>Signed Teacher:</b>

## **APPENDIX E**

### **General Principles Underlying this Policy**

#### **ACAS Code of Practice on Disciplinary and Grievance Procedures**

This Policy will be implemented in accordance with the provisions of the ACAS Code of Practice.

#### **Confidentiality**

The appraisal and capability processes 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. The Principal or appropriate senior colleague will review objectives and written appraisal records personally, in order to check consistency of approach and expectation between different appraisers. The Principal will be made aware of any pay recommendations that have been made.

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

The Governing Body is committed to ensuring consistency of treatment and fairness. It will abide by all relevant equality legislation, including the duty to make reasonable adjustment for disabled teachers. The Governing Body is adhere to relevant legislation.

#### **Definitions**

Unless indicated otherwise, all references to 'teacher' include the Principal.

#### **Delegation**

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

#### **Grievances**

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

#### **Sickness**

If long term sickness absence appears to have been triggered by the commencement of monitoring or a formal capability procedure, the case will be dealt with in accordance with the UTC Sickness Policy and will be referred immediately to the occupational health service to assess the member of staff's health and fitness for continued employment and the appropriateness or otherwise of continuing with monitoring or formal procedures. In some cases, it may be appropriate for monitoring and/or formal procedures to continue during a period of sickness absence.

#### **Monitoring and Evaluation**

The Governing Body and Principal will monitor the operation and effectiveness of the appraisal arrangements for the College.

**Retention**

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