

TREVIGLAS COMMUNITY COLLEGE**Whole college Appraisal Policy (Performance Management)****1. Introduction *****2. Model Policy***

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3. Appraisal (Performance Management) Policy

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4. Transition to Capability**1. Introduction**

Revised appraisal arrangements came into force with effect from 1 September 2012. They are set out in the Education (School Teachers' Appraisal) (England) Regulations 2012 (the Appraisal Regulations) which replace the Education (School Teacher Performance Management) (England) Regulations 2006 (the 2006 Regulations). The 2006 Regulations continued to apply to any performance management cycle which was in progress on 1 September 2012, unless the governing body or local authority decided to end that cycle early and to begin a new appraisal period starting on or after that date.

The Appraisal Regulations set out the principles that apply to teachers in all maintained schools and unattached teachers employed by a local authority, in each case where they are employed for one term or more. They retain the key elements of the 2006 Regulations but allow schools more freedom to design arrangements to suit their own individual circumstances. They provide the minimum national framework within which schools should operate and say nothing, or very little, on many subjects on which the 2006 Regulations made detailed provision. If they wish, schools may include in their own policies details that are no longer covered by the Appraisal Regulations.

Schools 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).

Schools, Academies and Local Authorities must have an Appraisal (Performance management) policy for teachers and a policy covering all staff which deals with lack of capability. This model policy applies to teachers, including headteachers, and to all support staff employed at the college. It has been written in the context of schools, but the same principles apply to unattached teachers. It is good practice for schools to consult staff on their performance management and capability policies.

These policies are recommended for adoption to all schools & academies in Cornwall. Should schools or Academies choose to develop different arrangements to those outlined in this document; they will need to re-open trade union negotiations on an individual basis.

The Appraisal (Performance Management) policy should be used as a reference point by schools and others as they review their policies to reflect the Appraisal Regulations. With effect from 1 September 2012, the Procedures outlined in this document superseded the previous performance management model policy and guidance (which had been designed to support the 2006 Regulations).

Appraisal (Performance management) is a process to assist all staff in the development of their professional skills; it provides a scheme to feedback on a person's performance, aids with career aspirations, including training and development opportunities. The procedure is a mechanism to support the person and should be used as a positive and helpful process.

The Appraisal (Performance Management) process as outlined is also designed to facilitate the college's achievement of its aims and objectives as set out in its Improvement Plan. It enshrines the principles of monitoring, assessment and continuous improvement in educational standards delivered by the college.

The **Policy for managing capability** replaces the previous school Capability Procedure. It sets out the formal capability procedure and reflects the ACAS Code of Practice on disciplinary and grievance procedures. Consequently this section should only be used in very limited and specific circumstances. Briefly, reference to moving a person into the Capability process should happen only after the Appraisal (Performance management) scheme has been exhausted, including having explored the supportive measures agreed with the employee during the course of the Appraisal (Performance Management) process, and where performance concerns remain after this process.

On 1 September 2012, this policy document replaced the statutory guidance "Capability Procedures for Teachers" that was issued in July 2000. Capability procedures only apply where there are serious concerns in respect of a member of staff's performance that the Appraisal (Performance Management) process has been unable to address.

2. Policy for the Appraisal (Performance Management) of all members of staff performance

Purpose

This policy sets out the framework for a clear and consistent assessment of the overall performance of all members of staff, including the Headteacher, and for supporting their development within the context of the college's plan for improving educational provision and performance, and the standards expected of all staff. It also sets out the arrangements that will apply to staff who fall below the levels of competence that are expected of them.

Application of the policy

Appraisal (Performance management) must be applied to the Headteacher and to all teachers employed by the college, except:

- those on contracts of less than one term
- those undergoing induction (*i.e.* NQTs) and
- those who are subject to the formal Capability Policy.

In addition the policy may be applied to all other staff contracted to work at the college and in such circumstances, the policies become "Whole College Appraisal (Performance Management) Policy". The Governing Body (or Interim Executive Board as appropriate) have the option of adopting these policy documents on a 'whole school' basis or otherwise. Where this policy is only applied to teaching staff, The Governing Body (or Interim Executive Board as appropriate) should ensure alternative arrangements are in place for other staff groups.

3. Performance Management & Appraisal

Performance management 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 in their respective roles.

The Performance Management Period

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

Staff who are 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 employee's contract.

Appointing Appraisers

The performance of the Headteacher will be managed by a nominated Committee of the Governing Body (or Interim Executive Board as appropriate), supported by a suitably skilled and/or experienced external adviser who has been appointed by the Governing Body (or Interim Executive Board as appropriate) for that purpose.

The Headteacher will decide who will manage the performance of the other teachers. However, it is recommended that the Headteacher should delegate the responsibility to undertake the process of some groups of staff to an alternative senior or middle leader in order to:-

- a) ensure managers' involvement in the appraisal of staff they supervise;
- b) ensure management support for the individual being appraised with regard to the development needs and targets agreed; and
- c) help protect the Headteacher's own workload and therefore their own work/life balance.

In addition, at Treviglas we will:

- d) ensure that all qualified teachers should be appraised by staff who hold QTS; and
- e) all appraisers receive appropriate training and support.

Individuals have the right to appeal against the appointment of the appraiser if they feel they will be disadvantaged or if the person has a conflicting interest. The appeal should be in writing to the Governing Body (or Interim Executive Board as appropriate) whose decision is final. The Headteacher should oversee and maintain responsibility for the whole process to ensure consistency of approach and that targets and objectives reflect the college's overall Improvement Plan.

Setting objectives

The Headteacher's objectives will be set by the Governing Body (or Interim Executive Board as appropriate) after consultation with the Headteacher and external adviser.

Objectives for each member of staff will be set before or as soon as practicable after, the start of each appraisal period. The objectives set for each person, will be Specific, Measurable, Achievable, Realistic and Time-bound (SMART) and will be appropriate

to the teacher's role and level of experience. The appraiser and member of staff will seek to agree the objectives but, if that is not possible, the appraiser will determine the objectives. Objectives may be revised if circumstances change.

The objectives set for each person 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 Treviglas. This will be ensured through a process of linking objectives to the College Improvement Plan and recognising the teacher core professional standards in Appraisal (performance management).

It is recommended that there should normally be up to three objectives only.

Before, or as soon as practicable after the start of each Appraisal (performance management period) each person will be informed of the standards against which that person's performance in that period will be assessed. All teachers should be assessed against the set of standards contained in the document called "Teachers' Standards" published in July 2011. The Headteacher or The Governing Body (or Interim Executive Board 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 their role.

All teachers will be assessed against the Core Teachers' Standards, in addition, a teacher is expected to demonstrate consistently high standards of personal and professional conduct.

Post threshold teachers **

In addition to Core standards post threshold teachers are expected to:

- continue to meet the standards
- broaden and deepen their professional attributes, knowledge, understanding and skills
- make a distinctive contribution to raising standards across the college and outside of their classroom
- act as role models for teaching and learning and
- provide regular coaching and mentoring to less experienced teachers.

All teachers

All teachers, including the Headteacher, will be expected to meet all of the Core Teachers' Standards. Objectives/targets for all teachers will be set by reference to the appropriate standards and the College Improvement plan. All teachers are expected to demonstrate consistently high standards of personal and professional conduct.

It should be noted that both the Appraiser and Appraisee can request a review of the objectives if circumstances within the college significantly change.

Reviewing performance

Development and support

Appraisal (Performance management) is a supportive process which will be used to inform continuing professional development by encouraging all staff to identify training and/or development opportunities. The college wishes to engender a culture in which all staff take responsibility for improving their skills through appropriate professional development. Professional development will be linked to college improvement priorities and to the ongoing professional development needs and priorities of individuals.

Feedback

Staff will receive constructive feedback on their performance regularly throughout the year using the evidence that is collated in their Personal professional Development folder. This evidence will be based upon a raft of evidence gathering processes such as observations, work scrutinies and participation in external monitoring visits. This list is not intended to be exhaustive.

Where there are concerns about any aspects of a member of staff's performance, the responsible manager will meet the member of staff as part of the Appraisal (Performance Management) process to discuss the concerns with a view to arranging a period of intensive support for the member of staff to facilitate the required improvements. Staff should be advised to seek the support and assistance from their own trade union representative. The manager responsible for managing performance will undertake the following actions in such circumstances:

- give clear feedback to the member of staff about the nature and seriousness of the concerns
- give the member of staff the opportunity to comment and discuss the concerns
- agree any support (e.g. coaching, mentoring, structured observations), that will be provided to help address those specific concerns
- make clear how, and by when, the appraiser will review progress. It may be appropriate to revise objectives, and it will be necessary to allow sufficient time for improvement. The amount of time allowed should reflect the seriousness of the concerns
- explain the implications and process if no – or insufficient – improvement is made.

The agreed strategies for performance improvement will be written into an Improvement Action Plan (Support plan) for the member of staff.

When progress is reviewed, if the responsible manager is satisfied that the member of staff has made, or is making, sufficient improvement, the (Appraisal) Performance Management process will continue as normal, with any remaining issues continuing to be addressed through this process.

Annual Assessment

Each member of staff's performance will be formally assessed in respect of each Appraisal (performance management) period. In assessing the performance of the Headteacher, The Governing Body (or Interim Executive Board as appropriate) must consult the external adviser.

Performance and development priorities will be reviewed and addressed on a regular basis throughout the Appraisal (performance management) year in interim meetings which will take place bi-annually, or more frequently if necessary. At the end of the Appraisal (performance management) year, an annual performance assessment will take place, which marks the end point to the annual performance management process. Normally the annual review will take place before the end of December term for teachers on the Senior Leadership team and before the end of October for all other staff. Inevitably there may be exceptions to this but it is best practice to review the previous year's work and to set objectives for the new academic year as close to the beginning of the new academic year as possible.

The member of staff will receive, as soon as is practicable following the end of the Appraisal (Performance Management) period a draft Appraisal (Performance Management) report. The employee will have the opportunity to comment on the content of the report prior to its finalisation as the performance record. The report will include:

- details of the objectives for the period in question
- an assessment of the employee's performance in their role and responsibilities against their objectives and the relevant standards
- an assessment of the person's training and development needs and identification of any action that should be taken to address them
- a recommendation on pay where that is relevant.

Upper Pay Spine progression

The STPCD states:

"Progression on UPS should be based on two successful performance management reviews...

To ensure that achievement and contribution have been substantial and sustained, that performance management review will need to assess that the teacher has:

- *continued to meet post-threshold standards; and*
- *grown professionally by developing their expertise post threshold"*

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

In this college those who are eligible for progression onto the upper pay spine and those who are eligible for progression within the upper pay spine (from M6- UPS 1; UPS1 – UPS2; UPS 2 - UPS3 are entitled to guidance on the **application process** and criteria for success from the Appraiser and/or from the Headteacher .**

There is no application process for progression M1-M2; M2-M3; M3-M4; M4-M5; M5- M6.

Evidence for progression gathered through the Appraisal process for teachers at this level will be considered by the Appraiser and the Headteacher will make the decision to recommendation

4. Transition to capability

If the manager responsible for Appraisal (Performance Management) (Headteacher, Senior teacher or line manager as appropriate) is not satisfied with progress, despite there having been a reasonable degree of additional support and guidance provided to the employee throughout the Appraisal (Performance Management) process, or if separate concerns have been identified outside of the Appraisal (Performance Management) cycle, the employee will be notified verbally and in writing that the Appraisal (Performance Management) process will no longer apply and that their performance will be managed under the Capability Procedure.

It is important that the manager responsible for Appraisal (Performance Management) has taken all appropriate steps and measures to assist the person to address their performance; these measures should have been discussed with the person and should be recorded in the performance management records as being offered and undertaken.

Moving to the formal Capability Procedure is a serious step and both parties should be aware of the potential consequences.

** Please see application guidance for Threshold, UPR 1/2 , UPR 2/3 in Guidance booklet