

**LANCASHIRE COUNTY COUNCIL**

**MODEL APPRAISAL POLICY FOR  
TEACHERS IN CENTRALLY MANAGED SERVICES (OCTOBER 2020)**

This Policy has been developed in consultation with the recognised Teacher Trade Unions. However some Teacher trade union representatives have confirmed that they do not fully agree with the full content of the Policy.

In light of the impact of the **Covid-19 pandemic** on schools, an advice note on ['teacher appraisal -- making decisions for the 2019-20 academic year'](#) is available as Appendix 1.

**1. PURPOSE**

- 1.1 This policy sets out the framework for a clear and consistent assessment of the overall performance of teachers and for supporting their personal and professional development within the context of the Service's plan for improving educational provision and performance, and the standards expected of teachers.
- 1.2 The appraisal policy will be used to address any initial concerns that are raised about a teacher's performance. If concerns are such that they cannot be resolved through this appraisal process, then consideration of whether to commence the capability procedure will be made.

**2. APPLICATION**

- 2.1 This policy applies to all teachers employed in a centrally managed service within the Council, except those on contracts of less than one term, those undergoing induction (ie NQTs) and those who are subject to the Capability Policy.
- 2.2 Separate arrangements exist for the appraisal of support staff.

**3. STATEMENT OF INTENT**

- 3.1 Appraisal in this Service 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.

**4. CONFIDENTIALITY STATEMENT**

- 4.1 All parties involved in this policy will be expected to observe the principle of confidentiality in relation to the contents of appraisals and any documentation that arises thereof.

- 4.2 Any documentation arising from, or the content of any discussions during appraisal meetings may be shared by the Appraiser/Senior Manager with individuals involved in monitoring performance, or those involved in any capability proceedings that may follow and for quality assurance/moderation purposes. The Appraisee should be informed if documentation relating to their appraisal is shared.
- 4.3 Documentation arising from, or the content of any discussions during appraisal meetings should be stored securely and not stored, either electronically or manually, in any public areas within the Service/on the Service's computer network.

## **5. HEALTH & DISABILITY**

- 5.1 The Appraiser should consider any ongoing health or disability affecting the Teacher during the appraisal cycle, including the possibility of considering whether any reasonable adjustments should be made. The Occupational Health Unit can provide advice in this respect if required.

## **6. GLOSSARY OF TERMS**

Teacher	Any reference to teacher within this policy refers to the person being appraised, which may also include the Headteacher
Appraiser	The person conducting the appraisal with the Teacher, which may also include the relevant senior manager or Head of Service
School day	One of the 195 days of the published school year when a teacher is required to be available for work under the School Teachers' Pay and Conditions Document.

## **7. THE APPRAISAL PERIOD**

- 7.1 The appraisal period will run for 12 months, normally from 1 September to 31 August each year.
- 7.2 Teachers who are employed on a fixed term contract of less than one year should have their performance managed in accordance with the principles underpinning this policy. The length of the period will be determined by the duration of their contract.
- 7.3 Where a Teacher starts their employment within the Service part-way through a cycle, the Senior Manager 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 as soon as possible.
- 7.4 Where a Teacher transfers to a new post within the Service part-way through a cycle, the Senior Manager shall determine whether the cycle shall begin again and whether to change the Appraiser.

## **8. APPOINTING APPRAISERS**

- 8.1 Teachers will be appraised by the relevant senior manager. The Senior Manager will decide who will be the appraiser. However, they will carefully consider any representations from a teacher or appraiser in cases where they do not believe that the Appraiser/Teacher relationship is appropriate.
- 8.2 Where a teacher is of the opinion that the Appraiser is unsuitable to act as his/her appraiser, s/he may submit a written request to the Head of Service for that appraiser to be replaced, stating the reasons for the request.
- 8.5 If it becomes apparent that the Appraiser appointed will be absent for the majority of the appraisal cycle, the Senior Manager may perform those duties her/himself or delegate those duties to another teacher for the duration of that absence.
- 8.6 If the Senior Manager appoints an appraiser who is not the Teacher's Line Manager, the Appraiser to whom s/he delegates those duties will have an appropriate position in the staffing structure, together with the necessary background knowledge, skills and training to undertake the role.
- 8.7 Where a Teacher is experiencing difficulties and the Senior Manager is not the appraiser, the Senior Manager may undertake the role of appraiser.

## **9. SETTING OBJECTIVES**

- 9.1 Objectives will be set before, or as soon as practicable after, the start of each appraisal period. The objectives set will be Specific, Measurable, Achievable, Realistic and Time-bound (SMART) and will be appropriate to the Teacher's role and level of experience.
- 9.2 The Appraiser and Teacher 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. Objectives will be quality assured/ moderated across the Service to ensure that objectives set are consistent across teachers with similar experience and levels of responsibility.
- 9.3 The objectives set for each teacher will, if achieved, contribute to the Service's plans for improving the educational provision and performance and improving the education of pupils, and will include a description of what success may look like, where this is not obvious. The objectives may also take into account the professional aspirations of the Teacher.
- 9.4 The number and depth of objectives should be appropriate to the Teacher, their individual circumstances and role within the Service.
- 9.5 The process for monitoring progress against the objectives will be specific to each Service. The monitoring that occurs may vary from Service to Service and will be dependent upon the role the Teacher has within the Service.

- 9.6 The appraisal process should include an assessment against the appropriate standards. Before, or as soon as practicable after, the start of each appraisal period, each teacher will be made aware of the standards against which their performance in that appraisal period will be assessed, in order that the teacher can prepare for the appraisal meeting.
- 9.7 All teachers should be assessed against relevant standards contained in the DfE's "Teachers' Standards" (from September 2012), which the Teacher should be directed to. The Head of Service/Senior Manager (as appropriate) will need to consider whether certain teachers should also be assessed against other sets of standards that are relevant to them e.g. Post Threshold standards. Those paid on the Leadership Group Pay Range should also be assessed against the National Standards of Excellence for Headteachers 2015. Qualified Teacher Learning and Skills (QTLS) holders may be assessed against the overarching professional standards for teachers in the lifelong learning sector, held by the Learning and Skills Improvement Service.

## **10. PAY PROGRESSION**

- 10.1 Where teachers are eligible for pay progression, the recommendation made by the Appraiser will be based on the assessment of their performance against the appraisal objectives.
- 10.2 Decisions in respect of whether pay progression should be awarded are taken by the Council's Performance Pay Progression group, which meets during the Autumn term. The decision made by this group will be based on the criteria outlined within the Authority's Pay Policy, the statutory criteria and guidance set out in the *School Teachers' Pay and Conditions Document (STPCD)* and the relevant teacher standards.
- 10.2 The Authority has a Pay Policy and has considered the implications of the Appraisal Policy with respect to the arrangements relating to teachers' pay in accordance with the STPCD. The Service will make every effort to ensure that decisions on pay progression are made by 31 December for headteachers and by 31 October for other teachers.

## **11. REVIEWING PERFORMANCE**

- 11.1 There are a variety of ways to assess/gather evidence of the Teacher's performance against the objectives set during the appraisal process. Classroom observation is also likely to form part of the review of performance for teachers with a classroom teaching role, as this can be an effective way of assessing teachers' performance to identify any particular strengths and areas for development they may have. It is also a method of obtaining information which can inform service improvement more generally.
- 11.2 All observations under this policy will be carried out in a supportive fashion, with professionalism, integrity and courtesy, and should result in a professional dialogue and constructive feedback. Verbal feedback should be

provided as soon as is reasonably practicable after the observation, normally within 3 working days and written feedback within 5 working days, unless circumstances make this impossible.

- 11.3 For the purposes of appraisal, teachers' performance will be observed on an appropriate and reasonable number of occasions and will, as far as possible, be agreed by the Appraiser with the Appraisee based on the individual circumstances of the Teacher and the overall needs of the Service.
- 11.4 For the purpose of professional development, feedback on lesson observations should be developmental, and not only a judgement using Ofsted grades.
- 11.5 In this Service, teachers' performance will be regularly observed but the amount and type of classroom/other observation will depend on the individual circumstances of the Teacher and the overall needs of the Service.
- 11.6 Classroom observation will be only be carried out by those with Qualified Teacher Status.
- 11.7 The Service may use the findings of each observation, including appraisal observations, for other management requirements (for example subject area reviews), thereby seeking to minimise the total number of occasions when teachers are observed.
- 11.8 In addition to formal observation, in certain settings, senior managers with responsibility for teaching and learning standards may "drop in" 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 "drop ins" and the notice to be given will vary depending on specific circumstances.
- 11.9 Services should consider developing a classroom observation protocol, which provides details on the conduct of "drop in" and classroom observations. If such a protocol is developed, senior manager should consult staff and Service trade union/professional association representatives.
- 11.10 Teachers who have responsibilities outside the classroom should also expect to have their performance of those responsibilities observed and assessed.
- 11.11 In situations where the Teacher performance becomes a cause for concern, additional review meetings may take place and additional support discussed, to assist the Teacher in achieving their objectives. During any additional meetings, the Appraiser will clearly outline the nature of the concerns, so that the Teacher is fully aware of what is required to achieve their objectives.

## **12. DEVELOPMENT AND SUPPORT**

- 12.1 Appraisal is a supportive process which will be used to inform continuing professional development. The Service wishes to encourage a culture in

which all teachers take responsibility for improving their teaching through appropriate professional development. Professional development will be linked to Service improvement priorities and to the ongoing professional development needs and priorities of individual teachers.

- 12.2 As part of the appraisal process, the impact of any continuing professional development on the Teacher's performance will be assessed.
- 12.3 The School CPD programme will be informed by the training and development needs identified as part of the appraisal process. In this regard, the Head of Service will ensure that in budget planning, as far as possible, resources are made available within the Service budget for appropriate development opportunities.
- 12.4 In the case of competing demands on the Service budget in relation to CPD opportunities, a decision on relative priority will be taken by the Senior Manager with regard to the extent to which:
- (a) the training and support will help the Service achieve its priorities; and
  - (b) the CPD identified is essential for an appraisee to meet their objectives.
- 12.5 During the annual assessment/review meetings, account will be taken of circumstances where it has not been possible for the Teacher/Headteacher to fully meet their objectives because any support recorded in the planning statement has not been provided, taking into account the reason why the support has not been provided.

### **13. FEEDBACK**

- 13.1 Teachers will receive constructive feedback on their performance throughout the year and soon after any observation has taken place or other evidence becomes available. Feedback will highlight particular areas of strength as well as any areas for further development.
- 13.2 The objectives set for each Teacher will, if achieved, contribute to the Service's plans for improving educational provision and performance and improving the education of pupils. The monitoring of this will be specific to each School. The monitoring that occurs may vary from School to School and will be dependent upon the role the Teacher has in School.

### **14. TRANSITION TO CAPABILITY**

- 14.1 If the Appraiser is not satisfied with progress made under the Appraisal Policy, the Teacher will be notified in writing by the Senior Manager that:
- i). the appraisal procedures will no longer apply;
  - ii). their performance will be managed under the Capability Policy – See Section 8 of the Model Capability Policy for Teachers in Centrally Managed Services;

- iii). they will be invited to an informal capability meeting, with at least 5 working days' notice (A model letter to be used for this purpose is included within the Capability Policy);
- iv). the matter will then be referred to an alternative Senior Manager within the Service.

14.2 The informal and formal capability procedures are contained within a separate Capability Policy.

## **15. ANNUAL ASSESSMENT**

15.1 Each Teacher's performance will be formally assessed in respect of each appraisal period.

15.2 This assessment is the end point to the annual appraisal process, but performance and development priorities will be reviewed and addressed on a regular basis throughout the year in interim meetings which will take place once a term, or more frequently where there are concerns about the Teacher's performance. Some performance objectives could be carried forward into the subsequent appraisal cycle.

15.3 The Teacher will receive a written Appraisal Report as soon as practicable following the end of each appraisal period, and have the opportunity to add comments. In this Service, senior managers will receive their written appraisal report by 31 December each year and all other teachers will receive their written appraisal reports by 31 October, unless exceptional circumstances apply. The appraisal report will include:

- details and evaluation 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 future training and 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 senior managers and by 31 October for all other teachers);
- performance objectives with success criteria for the next appraisal cycle
- space for the Teacher to add their comments (if they wish).

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

## **16. TEACHERS ON MATERNITY LEAVE DURING ALL/PART OF THE APPRAISAL CYCLE**

16.1 Where a teacher is absent due to maternity leave, it is unlawful to deny her an appraisal and subsequent pay progression decision on the grounds of her maternity. When a teacher returns to work from maternity leave, she must be

given any pay increase that she would have received, following appraisal, had she not been on maternity leave.

- 16.2 Services need to take a practical and flexible approach to conducting appraisals and making pay decisions for those absent on maternity leave, where a teacher has been absent for some or all of an appraisal cycle.
- 16.3 Services should consider conducting an Appraisal Review prior to a teacher commencing a period of maternity leave, even if this is early in the appraisal cycle. This could assist the Reviewer in making an appraisal and pay determination at the end of the Appraisal cycle, based on the evidence of performance to date in that appraisal year. The Reviewer could also take account of the Teacher's performance during previous appraisal periods if there is very little to go on in the current year. However, services should not require teachers to use Keeping in Touch (KIT) days for the purposes of appraisal.
- 16.4 Services may also consider conducting an Appraisal Review prior to a teacher commencing any other pre-planned long-term absence e.g. a period of extended unpaid leave, Adoption Leave, a planned long-term sickness absence.

## **Appendix 1 - Lancashire County Council – Centrally Managed Services**

### **Teacher appraisal – making decisions for the 2019-20 academic year (including for those on leadership pay range)**

During the 2019-20 academic year, LCC services experienced disruptions due to school partial/full closures as a result of the Covid-19 pandemic. The effect of this may have been that appraisal objectives agreed in Autumn 2019 could not be achieved, or may have required review/amendment to reflect the differences in service provision.

Interim appraisal reviews should have continued during the academic year. The review process should have been:

1. A review of the original objectives to:
  - i). Identify any objectives that remained relevant and could continue as planned;
  - ii). Put on hold any objectives that were not possible to progress due to service disruptions;
  - iii). Recognise the important contribution that the teacher made during the period of service disruption, by identifying any new objectives linked to work undertaken to support pupils, staff, families, schools during COVID19;
2. Identify the standards that could be drawn upon and developed during COVID19.
3. Identify any CPD that could be undertaken during COVID19.

In making pay progression recommendations, appraisers should consider the performance of the teacher up to the date of service disruption, in addition to any review/updating of appraisal objectives necessitated by the pandemic situation.

Services should take reasonable steps to adapt their appraisal arrangements in order to take account of the impact of the pandemic. Teachers should not be penalised during the appraisal process, or in respect of subsequent pay progression decisions, where service disruptions impacted on their ability to fully meet their objectives.

Centrally Managed Services must continue to adhere to the School Teachers Pay and Conditions Document, which states that the decision whether or not to award pay progression must be related to a teacher's performance, as assessed through the appraisal process. There remains no facility to award automatic pay progression to teachers on any pay range.

As stated in the Pay Policy, effective appraisal, including monitoring, feedback and appropriate continuous professional development, should ensure that teachers are unlikely to be surprised by the outcome of the appraisal and pay progression process.

In addition, the Council's Pay Policy still applies, which requires the Performance Pay Progression Panel (PPPP) to make decisions on pay progression, following

recommendations from appraisers. Therefore meetings of the PPPP will be convened in the Autumn term 2020, in order to receive pay recommendations from the appraisers and make pay progression decisions.