

# LANCASHIRE COUNTY COUNCIL

## MODEL APPRAISAL POLICY FOR TEACHERS IN CENTRALLY MANAGED SERVICES (SEPTEMBER 2023)

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.

### 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. Where additional support has been provided within the appraisal process and this does not lead to the required improvement, 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 Early Career Teachers) 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.
- 3.2 The School Teachers Pay and Conditions Document states that *"Governing bodies and headteachers, in carrying out their duties, must have regard to the need for the headteacher and teachers at the school to be able to achieve a satisfactory balance between the time required to discharge their professional duties...and the time required to pursue their personal interests outside work"*.

### 4. CONFIDENTIALITY STATEMENT

- 4.1 The Service processes personal data collected under this policy in accordance with its data protection policy. 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's computer network.
- 4.4 Inappropriate access or disclosure of employee data constitutes a data breach and should be reported in accordance with the data protection policy. It may also constitute a disciplinary offence, which will be dealt with under the disciplinary procedure.

## **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
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 appraisal 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 their appraisal 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 their appraiser, they 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 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 they delegate 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 appropriate 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 Headteacher Standards 2020. 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 normally 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 appropriate teacher standards.
- 10.3 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 October.
- 10.4 Continued good performance as defined by the School Pay Policy should give a classroom or unqualified teacher an expectation of progression to the top of their respective pay range;

## 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. Classroom observation will be only be carried out by those with Qualified Teacher Status.
- 11.3 For the purposes of appraisal, teachers' performance will be monitored 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 Teachers' performance will be regularly monitored by, for example:
- Formal classroom observations
  - "drop ins"
  - Book scrutiny
  - Pupil Progress meetings
  - Subject leader meetings
  - Pupil interviews
- 11.5 For the purpose of professional development, feedback on lesson observations should be developmental, and not only a judgement using Ofsted grades.
- 11.6 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.
- 11.7 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.

- 11.8 Services should consider developing a classroom observation protocol/monitoring and evaluation schedule, which should provide 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 representatives.
- 11.9 Teachers who have responsibilities outside the classroom should also expect to have their performance of those responsibilities observed and assessed in an appropriate and relevant manner as part of the Appraisal Policy.
- 11.10 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 (CPD) on the Teacher's performance will be assessed.
- 12.3 The 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 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 that occurs may vary from Service to Service and will be dependent upon the role the Teacher has.

### **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 should be reviewed and addressed on a regular basis throughout the year. This may include interim meetings at the request of the appraiser or appraisee. Performance objectives may 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 October);
- 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 them an appraisal and subsequent pay progression decision on the grounds of maternity. When a teacher returns to work from maternity leave, the Service must award pay increase that would have been received, following appraisal, had they 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.