



# The Royal School

*Wolverhampton*

## Professional review and development (PRD) Policy

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## Introduction: Vision Statement

We, the staff and governors, are working towards our vision which is: *Excellence for all: inspiring individuals to achieve their personal best and to compete and contribute as local and global citizens as “An all-through, 4-19, co-educational, non-denominational day and boarding school, providing outstanding non-selective education for all its pupils, within a strong and supportive community ethos.*

All of the values and principles defined by the school ethos, values and vision document apply to all staff and standards to be expected of all employees, are namely:

1. acting with honesty and integrity;
2. forging positive professional relationships;
3. working with parents in the best interests of pupils;
4. treating pupils with dignity and observing proper boundaries appropriate to the member of staff's professional position;
5. having regard to the need to safeguard pupils' well-being;
6. showing tolerance of and respect for the rights of others;
7. not undermining fundamental values of democracy, the rule of law, individual liberty and mutual respect and tolerance of those with different faiths and beliefs;
8. having proper regard for the ethos, values, policies and practices of the school;
9. maintaining high standards in their own attendance and punctuality;
10. acting within any statutory and school frameworks relevant to their respective roles.

## Introduction: extract from DfE guidance.

Revised appraisal arrangements come 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 continue to apply to any performance management cycle which is in progress on 1 September 2012, unless the governing body or local authority decides 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 and local authorities must have an appraisal policy for teachers and a policy, covering all staff, which deals with lack of capability. This policy applies only to teachers, including principal/headteachers, but schools might wish to adapt it for use with all staff. 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 appraisal and capability policies. This model policy has been provided as an optional resource for schools and others to which they can refer as they wish as they review and develop their own policies.

The model policy is in two separate sections. Part A covers appraisal and should be used as a reference point by schools and others as they review their policies to reflect the Appraisal Regulations. On 1 September 2012 it

superseded the previous performance management model policy and guidance, which had been designed to support the 2006 Regulations.

Part B of the policy sets out the formal capability procedure and reflects the ACAS Code of Practice on disciplinary and grievance procedures. On 1 September 2012, it replaced the statutory guidance “Capability Procedures for Teachers” that was issued in July 2000. Capability procedures apply only to teachers and Principal about whose performance there are serious concerns that the appraisal process has been unable to address.

# Policy for appraising teacher performance and dealing with capability issues

## Purpose

This policy sets out the framework for a clear and consistent assessment of the overall performance of teachers, including the principal/headteacher, and for supporting their development within the context of the school'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.

## Links to School Improvement

The Governing Body expect that objectives set for all teachers including the Principal, if achieved, will improve the education of pupils at our school and contribute to the implementation and achievement of the School Improvement Plan and any other plans adopted from time to time to improve the school's educational provision and performance.

## Application of the policy

The policy is in two separate sections.

**Part A of the policy, which covers appraisal, applies to the principal/headteacher and to all teachers employed by the school except those on contracts of less than one term, those undergoing induction (ie NQTs) and those who are subject to Part B of the policy.**

Part B of the policy, which sets out the formal capability procedure, applies only to teachers (including the principal/headteacher) about whose performance there are serious concerns that the appraisal process has been unable to address.

The policy also applies to teaching assistants.

# Part A – Performance Review/Appraisal

Performance Management/Appraisal in this school 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, managers and leaders.

Its purpose is to enable the school to effectively support the development of all staff, no matter what role, to develop in their skills, competencies and performance related to their job descriptions.

The Royal School uses Performance Management to develop all staff both personally and professionally; to improve teaching and raise standards of education and achievement for all children; to ensure continuous organisational improvement and development in line with the ethos, vision and values of the school. We have adopted this process as a means of developing the skills of all staff in an equitable manner.

## A:1 The appraisal period

**The appraisal/performance management period will run for twelve months from 1<sup>st</sup> October to 30<sup>th</sup> September.**

Teachers 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 their contract.**

*(There is flexibility to have a longer or shorter appraisal period when teachers begin or end employment with a school or local authority or when unattached teachers change post within the same authority.)*

## A:2 Appointing appraisers

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

In this school the task of appraising the Principal, including the setting of objectives, will be delegated to a sub-group consisting of members of the Governing Body.

The Principal will decide who will appraise other leaders/managers/teachers in discussion with the SLT.

## A:3 Setting objectives

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

**Objectives for each teacher will be set before, or as soon as practicable after, the start of each appraisal/performance management period.** The objectives set for each leader/manager/teacher, 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 leader/manager/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.

**The objectives set for each leader/manager/teacher will, if achieved, contribute to the school's plans for improving the school's educational provision and performance and improving the education of pupils at that school.** This will be ensured by *quality assuring all objectives against the school improvement plan.*

**Before, or as soon as practicable after, the start of each appraisal period, each teacher will be informed of the standards against which that teacher's performance in that appraisal period will be assessed.** *With the exception of those who are qualified teachers by virtue of holding and maintaining Qualified Teacher Learning and Skills (QTLS) status, all teachers must be assessed against the set of standards contained in the document called "Teachers' Standards" published in July 2011. The principal or governing body (as appropriate) will need to consider whether certain teachers should also be assessed against other sets of standards published by the Secretary of State that are relevant to them.*

*For teachers who are qualified teachers by virtue of holding QTLS status, it is for the governing body or principal to decide which standards are most appropriate. Such teachers may be assessed against the Teachers' Standards, against any other sets of standards issued by the Secretary of State, against any other professional standards relevant to their performance or any combination of those three which best suit the free school and its SIP objectives.*

## **A:4 Reviewing performance**

### **4.1 Observation**

The Royal School believes that observation of classroom practice, including records of assessment and marking, CPD and other wider responsibilities is 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 school improvement more generally. All observation will be carried out in a supportive fashion and reflect on previous targets as well as ongoing SIP priorities. There will be 5 lesson observations per year of which two will be specifically assessing the PRD targets. These observations will be at least 30 minutes long but may be for a full lesson at the request of the reviewee or if particular foci have been identified by the reviewer. There will also be a PRD mid-year review where reviewer and reviewee have an opportunity to assess how well the targets are being met and to revisit targets, resources and plans of action if necessary to ensure targets are likely to be met.

In this school, 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 school. In addition to formal observation, Principal, SLT, Heads of Faculty, Heads of House or subject leaders with responsibility for teaching 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 in" observations will vary depending on specific circumstances.

Teachers (including the principal/SLT/ELT) who have responsibilities outside the classroom should also expect to have their performance of those responsibilities observed and assessed.

### **4.2 Development and support**

Appraisal/performance management is a supportive process which will be used to inform continuing professional development. The school 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 school improvement priorities and to the ongoing professional development needs and priorities of individual teachers.

### **4.3 Feedback**

Teachers will receive constructive feedback on their performance throughout the year and as soon as practicable after observation has taken place or other evidence has come to light. Feedback will highlight particular **areas of strength** as well as any **areas for development**. Strength of practice will be celebrated and built upon by

sharing good and outstanding professional practice throughout the school. Where there are concerns about any aspects of the teacher's performance the reviewer 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, provide supporting evidence and discuss the concerns;
- agree any support (eg 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 is up to the school but should reflect the seriousness of the concerns*);
- 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.

#### 4.4 Transition to capability

If the reviewer is not satisfied with progress, the teacher will be notified in writing that the appraisal/performance management system will no longer apply and that their performance will be managed under The Royal School's formal **capability procedure**, and will be invited to a formal capability meeting. The capability procedures will be conducted as in part B of this policy.

#### 4.5 Annual assessment

**Each teacher's performance will be formally assessed in respect of each appraisal/performance management period. In assessing the performance of the principal, the Governing Body must consult 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/performance management report**. In this school, teachers will where possible receive their written appraisal/performance management reports by 31 October. **The appraisal/performance management 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/possible.**

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

## Part B – Capability Procedure

This procedure applies only to teachers or Principal about whose performance there are serious concerns that the appraisal/performance management process has been unable to address.

At least five working days' notice will be given of the formal capability meeting. The notification will contain sufficient information about the concerns about performance and their possible consequences to enable the teacher to prepare to answer the case at a formal capability meeting. It will also contain copies of any written evidence; the details of the time and place of the meeting; and will advise the teacher of their right to be accompanied by a companion who may be a colleague, a trade union official, or a trade union representative who has been certified by their union as being competent.

### B:1 Formal capability meeting

This meeting is intended to establish the facts. It will be conducted by the Chair of Governors or nominated governor (for Principal capability meetings) or Principal (for other leaders/managers/teachers). The meeting allows the leader/manager/teacher, accompanied by a companion if they wish, to respond to concerns about their performance and to make any relevant representations. This may provide new information or a different context to the information/evidence already collected.

The person conducting the meeting may conclude that there are insufficient grounds for pursuing the capability issue and that it would be more appropriate to continue to address the remaining concerns through the appraisal/performance management process. In such cases, the capability procedure will come to an end. The person conducting the meeting may also adjourn the meeting *for example if they decide that further investigation is needed, or that more time is needed in which to consider any additional information.*

In other cases, the meeting will continue. During the meeting, or any other meeting which could lead to a formal warning being issued, the person conducting the meeting will:

- identify the professional shortcomings, *for example which of the standards expected of teachers are not being met;*
- give clear guidance on the improved standard of performance needed within a limited time period to ensure that the leader/manager/teacher can be removed from formal capability procedures (*this may include the setting of new objectives focused on the specific weaknesses that need to be addressed, any success criteria that might be appropriate and the evidence that will be used to assess whether or not the necessary improvement has been made*);
- explain any support that will be available to help the leader/manager/teacher improve their performance;
- set out the timetable for improvement and explain how performance will be monitored and reviewed. The timetable will depend on the circumstances of the individual case but in straightforward cases could be (*e.g. between four and ten weeks. It is for the school to determine the set period. It should be reasonable and proportionate, but not excessively long, and should provide sufficient opportunity for an improvement to take place*); and
- warn the leader/manager/teacher formally that failure to improve within the set period could lead to dismissal. In very serious cases, this warning could be a final written warning.

Notes will be taken of formal meetings and a copy sent to the member of staff. Where a warning is issued, the leader/manager/teacher will be informed in writing of the matters covered in the bullet points above and given information about the timing and handling of the review stage and the procedure and time limits for appealing against the warning.

## **B:2 Monitoring and review period following a formal capability meeting**

A performance monitoring and review period will follow the formal capability meeting. Formal monitoring, evaluation, guidance and support will continue during this period. The member of staff will be invited to a formal review meeting, unless they were issued with a final written warning, in which case they will be invited to a decision meeting (see below).

## **B:3 Formal review meeting**

As with formal capability meetings, at least five working days' notice will be given and the notification will give details of the time and place of the meeting and will advise the teacher of their right to be accompanied by a companion who may be a colleague, a trade union official, or a trade union representative who has been certified by their union as being competent.

If the person conducting the meeting is satisfied that the teacher has made sufficient improvement, the capability procedure will cease and the appraisal process will re-start. In other cases:

- If some progress has been made and there is confidence that more is likely, it may be appropriate to extend the monitoring and review period;
- If no, or insufficient improvement has been made during the monitoring and review period, the teacher will receive a final written warning.

As before, notes will be taken of formal meetings and a copy sent to the member of staff. The final written warning will mirror any previous warnings that have been issued. Where a final warning is issued, the member of staff will be informed in writing that failure to achieve an acceptable standard of performance (within the set timescale), may result in dismissal and given information about the handling of the further monitoring and review period and the procedure and time limits for appealing against the final warning. The teacher will be invited to a decision meeting.

## **B:4 Decision meeting**

As with formal capability meetings and formal review meetings, at least five working days' notice will be given and the notification will give details of the time and place of the meeting and will advise the leader/manager/teacher of their right to be accompanied by a companion who may be a colleague, a trade union official, or a trade union representative who has been certified by their union as being competent.

If an acceptable standard of performance has been achieved during the further monitoring and review period, the capability procedure will end and the appraisal process will re-start. If performance remains unsatisfactory, a decision, or recommendation to the Governing Body, will be made that the leader/manager/teacher should be dismissed or required to cease working at the school.

The leader/manager/teacher will be informed as soon as possible of the reasons for the dismissal, the date on which the employment contract will end, the appropriate period of notice and their right of appeal.

## **B:5 Decision to dismiss**

The power to dismiss staff in this school has been delegated to the Principal.

## **B:6 Dismissal**

Once the decision to dismiss has been taken, the Principal will dismiss the teacher with notice.

## **B:7 Appeal**

If a leader/manager/teacher feels that a decision to dismiss them, or other action taken against them, is wrong or unjust, they may appeal in writing against the decision within five days 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 leader/manager/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 leader/manager/teacher will be informed in writing of the results of the appeal hearing as soon as possible.

## **General Principles Underlying This policy**

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

Part B of the 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. In order to do this the recommendations for any pay progression will be discussed with the Principal and the objectives set for all teachers.

### **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 adjustments for disabled teachers. The governing body is aware of the guidance on the Equality Act issued by the Department for Education.

### **Definitions**

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

### **Delegation**

1 Normal rules apply in respect of the delegation of functions by governing bodies and Principal.

### **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 school's absence policy and will be *referred immediately 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 school's appraisal arrangements.

## 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.

## PRD Meeting Guidelines – Reviewer

### What to do prior to the meeting:

- Review documentation sent to you by reviewee
- Check all sections of documentation are complete – if not return for completion
- Consider any other information you would like to see.
- Consider what the targets for the year ahead might be: Make them SMART targets (specific, measurable, attainable, realistic and timely)
- Pupil progress target already completed – for discussion

### During the meeting:

- A professional review of success and areas for development
- Evaluate where you feel the reviewee has come on their journey
- Set new targets using 2018-19 documentation

### After the meeting:

- Send completed paperwork to reviewee – request them to print, sign and submit a copy to Louise Hale (Senior school) or Kathy Jefferson (Primary school)
- Keep the dialogue going through the year
- Check in on progress against targets through the year informally
- If request arrange interim review
- At any point should you require support with the process, please speak to the relevant member of SLT

## PRD Meeting Guidelines – Reviewee

### What to do prior to the meeting:

- Review your targets from last year – comment and link to evidence
- List any training you received, including peer to peer work and internal support
- If it supports you, complete the review of the year
- Complete section 4 of the form: Whole school contributions/impact (link this to the values)
- Collate any other information you would like to be seen.
- Consider what your Leadership and Management and Professional Development targets for the year might be: Make it SMART (specific, measurable, attainable, realistic and timely)
- Send completed paperwork to your reviewer at least 24 hrs in advance of the meeting

### During the meeting:

- A professional review of success and areas for development
- Evaluate where you feel you have come on your journey
- Set new targets

### After the meeting:

- Paperwork will be sent to you by your PRD leader
- Print and sign. Return this signed document to Louise Hale (Senior School) or Kathy Jefferson (Primary School)
- Keep the dialogue going through the year where needed with your PRD leader
- Arrange interim meetings if needed during Spring term.
- It would be helpful to maintain a professional development portfolio. This will assist with the collection of evidence in the course of your work – these should be identified on your documents.

## Performance Management 2018-19

### Objectives for:

Team Leader/Reviewer		Date objectives agreed	
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### 1. Pupil Progress

<p><b>Objective:</b> Ensure that all pupils and identified groups of pupils, make good progress from their starting points.</p>	
<p><b>Success Criteria:</b></p> <ul style="list-style-type: none"> <li>• All groups of pupils including identified groups of pupils: EAL, SEND, PP make good progress with evidenced impact of adjusted provision to meet need.</li> <li>• Interventions have been implemented, regularly reviewed and have been evaluated.</li> <li>• Learning environment is high quality and supportive for learners.</li> <li>• Regular feedback given to pupils on how to improve further and pupil response to feedback is clear.</li> <li>• Initiative is used to quickly intervene if and when concerns regarding pupil progress arise.</li> </ul>	<p><b>Milestones: Evidence: Monitoring</b></p> <ul style="list-style-type: none"> <li>• Annotated provision maps</li> <li>• Minutes of meetings e.g. Pupil progress, line manager, subject, faculty, house, phase</li> <li>• Lesson observation feedback</li> <li>• Learning walk feedback</li> <li>• Work scrutiny feedback</li> <li>• Class data analysis</li> <li>• Intervention plans</li> <li>• Monitored at least termly or each learning cycle.</li> </ul>
<p>Evidence summary:</p>	<p>Target met: Fully, Partially, Not met</p>

## 2. Leadership and Management

<b>Objective:</b>	
<b>Success Criteria:</b>	<b>Milestones: Evidence: Monitoring</b> <ul style="list-style-type: none"><li>• Subject/phase/faculty data analysis</li><li>• Evidence of impact outside your own classroom.</li></ul>
<b>Evidence summary:</b>	Target met: Fully, Partially, Not met

### 3. Professional Development

<b>Objective:</b>	
<b>Success Criteria:</b>	<b>Milestones: Evidence: Monitoring</b> <ul style="list-style-type: none"><li>• Action Research project evidence</li></ul>
Evidence summary	Target met: Fully, Partially, Not met

**4. Key 'whole school' contributions/Impact** (to be completed at end of academic year)

Please summarise how in the last 12 months you have made a **significant IMPACT relating to the school's core ethos, vision and values**. This may be supporting a one off event, an ongoing aspect of school improvement or work as part of a team within school or the wider community.

•

**Training and development needs:** (identified by Reviewee/Reviewer during target setting)

**Training and development record:** (reviewed by Reviewee at end of academic year)

**Further evidence sources for overall progress 2018-19**

**Reviewee**

Signed.....

Date .....

**Reviewer**

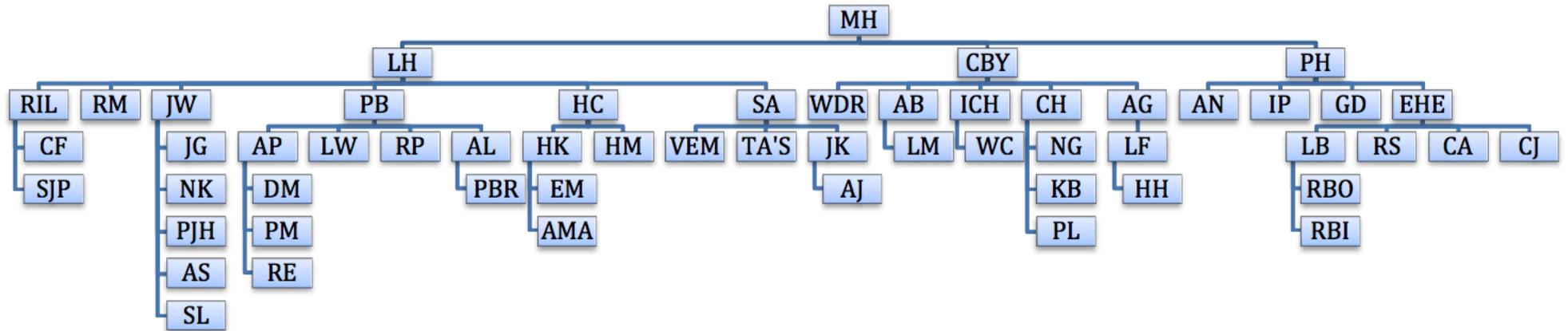
Signed.....

Date .....



The Royal School  
Wolverhampton

### Senior teachers PRD diagram 2018-19





The Royal School  
Wolverhampton

### Primary teachers PRD diagram 2018-19

