



NORTHAMPTON PRIMARY
ACADEMY TRUST PARTNERSHIP

Staff Appraisal and Capability Policy

Date approved by the NPAT Board of Trustees:	December 2021
Chair of Trustees Signature:	Jeremy Stockdale
Renewal Date*:	December 2024

*This policy will be reviewed and updated as necessary if/when any changes are made to legislation that affect our Trust's practice. Otherwise, or from then on, this policy will be reviewed every 3 years and shared with the full Trust board.

In the development of this policy consideration has been given to the impact on protected characteristics under the Equality Act and the work life balance of employees.

1. Definitions

1.1 The term “Headteacher” also refers, where appropriate, to any other title used to identify the Headteacher.

1.2 The term “employee” refers to any member of the school staff employed to work solely at the school.

1.3 The term “senior manager” refers to any member of the Leadership Group, as defined by the School Teachers’ Pay and Conditions Document, or a senior support employee in cases involving support staff, delegated by the Headteacher to deal with an appraisal and/or capability matter under these procedures. A senior manager may only make a decision to issue a sanction up to and including a final written warning.

1.4 If the Headteacher, following consultation with the Chair of Governors, considers that there is no senior manager to whom s/he can reasonably delegate a specific capability matter then the Headteacher will take the role of the senior manager for that specific case and the role of the “Headteacher” under this procedure will be performed by a “Disciplinary Committee” of the Local Governing Body consisting of not less than 3 governors, (except in circumstances provided for in the Secretary of State’s guidance on the Staffing Regulations), none of whom will have had previous involvement in the case. Where the Local Governing Body cannot form a committee with no prior involvement in the case, members of other Local Governing Bodies may be used.

1.5 The role of the Headteacher will be taken by appropriate governors as indicated where the appraisal and or capability being reviewed is that of the Headteacher.

1.6 “Lack of capability” is defined as a situation in which an employee fails consistently to perform his/her duties to a wholly satisfactory standard of performance over a period of time.

2. Purpose

2.1 This policy sets out the framework for a clear and consistent assessment of the overall performance of employees covered by the appraisal policy and for supporting their development within the context of the school’s plan for improving educational provision and performance, and the standards expected of employees in their respective roles. It also sets out the arrangements that will apply when employees fall below the levels of competence that are expected of them.

2.2 This policy does not form part of any employee's contract of employment and it may be amended at any time following consultation. We may also vary any parts of this procedure, including any time limits, as appropriate in any case.

3. Application of the policy

The policy is in two separate sections.

Section 1 of the policy, which covers appraisal, applies to the Headteacher and to all teachers and all support staff employed by Northampton Primary Academy Trust, except those on contracts of less than one term, those teachers undergoing induction (i.e. ECTs), those support staff subject to a probationary period and those have been transferred to Section 2 of the policy.

Section 2 of the policy, which sets out the formal capability procedure, applies to all employees of Northampton Primary Academy Trust (including the Headteacher). Concerns about the employee's performance will have been identified by the appraisal process and which it has been unable to address.

Section 1 – Appraisal

The appraisal policy for Northampton Primary Academy Trust will be a supportive and developmental process designed to ensure that all employees identified by the policy have the skills and support they need to carry out their role effectively. It will help to ensure that all employees are able to continue to improve their professional/employment practice and to develop in their respective roles.

1. The appraisal period

1.1 The appraisal period for teachers will follow the academic year and run for twelve months from the 1st September to the 31st August the following year. The appraisal period for support staff will run for twelve months from the 1st April to the 31st March the following year. (Provided the support staff member has completed six month's satisfactory service at current grade or point, the staff member is eligible for increments on 1 April each year up to the maximum of the scale. subject to satisfactory performance. If, by the 1 April the staff member has had less than six months at current grade or point, they are eligible for first increment the following April again subject to satisfactory service. All subsequent increments will be payable on 1 April each year up to the maximum of the scale.)

1.2 Employees 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 review period will be determined by the duration of their contract.

1.3 Employees will not normally be dismissed for performance reasons without previous warnings. However, in serious cases of gross negligence, or in any case involving an employee who has not yet completed their probationary period, dismissal without previous warnings may be appropriate.

1.4 The point at which an employee will be considered for an incremental increase in pay within their pay scale following a successful appraisal is detailed in the NPAT Pay Policy.

2. Appointing appraisers

2.1 The task of appraising the Headteacher, including the setting of objectives, will be delegated to a sub-group consisting of the Chief Executive Officer and two members of the Local Governing Body (usually Chair and one other and as a general rule neither parent or staff governors, however if in doubt consult the CEO), and supported by a suitably skilled and/or experienced external adviser who has been appointed by Northampton Primary Academy Trust for that purpose.

2.2 The Headteacher will decide who will appraise other employees covered by the policy and staff will be notified who their appraiser is at the start of each academic year.

2.3 Where it becomes apparent that the appraiser appointed by the Headteacher will be absent for the majority of the appraisal cycle, the Headteacher may perform those duties herself/himself or delegate those duties to another teacher for the duration of that absence.

3. Setting objectives

3.1 The Headteacher's objectives will be set by the Chief Executive Officer and the Local Governing Body after consultation with the external adviser.

3.2 Objectives for each employee covered by the policy 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 and will be appropriate to the employee's role and level of experience. The appraiser and employee 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 appraiser will take into account the effects of an individual's circumstances including any disability, when agreeing objectives.

Objectives will not be based on externally generated data and predictions, or solely on the assessment data for a single group of pupils. Objectives will be set in relation to robust assessment data which will not be used in isolation, with other factors also being considered.

3.3 The objectives set for each employee will, if achieved, contribute to the school's plans for improving the school's educational provision and performance and improving the educational opportunities of pupils at that school. This will be ensured by for example - quality assuring all objectives against the school improvement plan. For some roles within a school the objectives may be set by the Trust to ensure consistency across all employees and help meet Trust wide targets.

3.4 The Trust provides agreed trust-wide targets, and guidance to appraisers on individual targets where appropriate. Consistency in target-setting is ensured through appraiser training and guidance. Targets will be moderated across the Trust and its schools to ensure that they are consistent between staff with similar experience and levels of responsibility.

4. Overall Performance of Teachers

4.1 Before, or as soon as practicable after, the start of each appraisal period, a teacher will be informed of the standards against which that teacher's performance in that appraisal period will be assessed. Each teacher will be assessed against the set of standards contained in the document called "Teachers' Standards" published in July 2011 and any subsequent amendment thereof.

4.2 The Headteacher 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.

5. Reviewing performance through monitoring

5.1 Northampton Primary Academy Trust believes that monitoring of classroom practice and other responsibilities for teachers, and support staff who support teachers in the classroom, is important both as a way of assessing 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 monitoring will be carried out in a supportive fashion in accordance with a monitoring protocol determined by the Headteacher following consultation with the staff to whom it applies. To support the agreed monitoring protocol, observation, learning walk and drop in protocol and lesson observation forms are in Appendix A.

5.1.2 Teachers' performance will be regularly observed but the amount and type of classroom monitoring will depend on the individual circumstances of the employee and the overall needs of the school.

5.1.3 Classroom monitoring of teachers will be carried out for those with QTS.

5.1.4 Employees who have responsibilities outside the classroom should also expect to have their performance of those responsibilities monitored and assessed.

5.2 Support staff appraisal will focus on the job description of the employee, targets set at a school and/or Trust level and the expected standards of performance will be made clear by the appraiser for the year ahead.

5.2.1 Senior Support Staff will have a mid-year appraisal review approximately six months after the start of the appraisal year starts. Senior support staff are:

- Chief Operations Officer
- Financial Controller
- School Business Managers
- Higher Level Teaching Assistants

6. Observations, learning walks and drop ins

6.1 As part of the monitoring schedule, the Headteacher or other leaders with responsibility for teaching standards may undertake observations, learning walks and drop ins 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, learning walks and drop ins observations will vary depending on specific circumstances and the experience and needs of staff.

6.2 All observations, learning walks and drop ins will be carried out in accordance with a protocol determined by the Headteacher following consultation with the staff to whom it applies. The lesson observation and drop in protocol is at Appendix A.

7. Development and support

7.1 Appraisal is a supportive process which will be used to inform continuing professional development. The Trust wishes to encourage a culture in which all employees take responsibility for improving their performance through appropriate development.

7.2 Staff professional development will be linked to Trust and school improvement priorities and to the ongoing professional development needs and priorities of individual members of staff.

8. Feedback

8.1 Employees will receive constructive feedback on their performance throughout the year and as soon as practicable after monitoring has taken place or other evidence has come to light. Feedback will highlight particular areas of strength as well as any areas that need attention or development.

8.2 Where there are concerns about any aspects of the employee's performance the appraiser, alongside the Headteacher, will meet with the employee to:

- give clear feedback about the areas of concern;
- give the employee the opportunity to comment and discuss the concerns and establish the likely causes of poor performance and identify any training needs/support needed (e.g coaching, monitoring, structured observation)
- clarify the required standards and 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
- if it is appropriate to revise objectives, it will be necessary to allow sufficient time for improvement.
- the amount of time will reflect the seriousness of the concerns; explain the implications and process if no, or insufficient, improvement is made.

8.3 When progress is reviewed, if the Headteacher is satisfied that the employee 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.

8.4 The appraiser and Headteacher will keep a note of any concerns, the support given and the review judgement. A copy of this note will be given to the employee. (See 10.4 below). If required, this will inform any decision on transition to the capability procedure.

9. Transition to capability

9.1 If the Headteacher is not satisfied with progress, the employee will be notified in writing that the appraisal system will no longer apply, and that his/her performance will be managed under the capability procedure. The employee will be invited to a formal capability meeting. The capability procedures will be conducted as in Section 2 of this policy.

10. Annual assessment

10.1 The performance of each employee will be covered by the appraisal policy and will be formally assessed on an annual basis. Employees new to the Trust/school will have new targets set and will be appraised on these targets the following year.

10.2 In assessing the performance of the Headteacher, the Chief Executive Officer and Local Governing Body must consult a Trust appointed external adviser.

10.3 This assessment is the end point to the annual appraisal process, and performance and development priorities will be reviewed and addressed for teachers and senior support staff again during a mid-year review and on a more regular basis throughout the year if deemed necessary by the appraiser.

10.4 The employee will receive their appraisal document as soon as practicable following the end of each appraisal period and have the opportunity to comment in writing on a written appraisal report.

10.5 Teachers will receive their written appraisal reports by 31 October, 31 December for the Headteacher and support staff by the 31st March.

10.6 The appraisal report will include:

- details of the employee's objectives for the appraisal period in question;
- an assessment of the employee's performance of their role and responsibilities against their objectives and, for teachers, against the relevant standards;
- an assessment of the employee's training and development needs and identification of any action that should be taken to address them. The assessment of performance and of training and development needs will inform the planning process for the following appraisal period.
- a recommendation on pay where that is relevant. Pay recommendations will be made by 31 December for Headteachers, by 31 October for other teachers, and by 31 March for support staff. All pay awards are subject to final approval by the Local Governing Body or Board of Trustees for centrally employed staff.

11. Appeals

11.1 The arrangements for considering appeals are as follows:

- a) An employee may seek a review of any determination in relation to their pay or any other decision taken (including appraisal) by the Local Governing Body (or a committee or individual acting with delegated authority) that affects their pay.
- b) At the formal stage of the appeals procedure, the employee has the right to put their case to the Local Governing Body Appeals Panel and is entitled to be accompanied by a colleague or trade union representative.
- c) The following list, which is not exhaustive, includes the usual reasons for seeking a review of a pay determination.
- d) That the person or committee by whom the decision was made:
 - incorrectly applied any provision of the STPCD;
 - incorrectly applied the school's Pay Policy
 - failed to have proper regard for statutory guidance;
 - failed to take proper account of relevant evidence;
 - took account of irrelevant or inaccurate evidence;
 - was biased; or
 - otherwise unlawfully discriminated against the teacher.

11.2 The order of proceedings is as follows:

- a) The employee is informed by the appraiser at their appraisal meeting of the pay recommendation to be made to the Local Governing Body Pay Award Committee and where applicable, the basis on which the decision was made.
- b) If the employee is not satisfied, he/she should seek to resolve this by discussing the matter informally with the appraiser.
- c) Pay recommendations should be made by the Headteacher to the Local Governing Body Pay Award Committee to make pay determinations.
- d) Pay decision is confirmed in writing after the Local Governing Body Pay Award Committee have made their decision.
- e) Where the employee continues to be dissatisfied, they may follow a formal appeal process.
- f) The employee should set down in writing the grounds for appeal and send it to the Chair of the Local Governing Body Pay Award Committee who made the determination, within 10 working days of the notification of the decision being appealed against.
- g) The appeal will be considered by an Appeals Committee in accordance with Northampton Primary Academy Trust's appeals procedure. The Appeals Committee will comprise of different members than the Local Governing Body Pay Award Committee.

Section 2 – Capability Procedure

1. Formal Capability Meeting

1.1 This procedure applies only to employees about whose performance there are serious concerns that the appraisal process has been unable to address. If under Section 1 above an employee's performance, who is covered by Section 1, is not wholly satisfactory, the Headteacher, or other person with line management responsibility for the employee, will invite the employee to a formal capability meeting to discuss with the employee the identified poor performance as specifically as possible.

1.2 The Headteacher or relevant line manager will write to the employee at least 5 working days in advance to inform him/her about:

- a) the date, time and place of the meeting.
- b) the basic details of the concerns about the employee's performance
- c) the employee's right to be accompanied by a representative of his/her trade union or a workplace colleague of his/her choice
- d) the titles of enclosed copies of any documents to be used at the meeting.
- e) names of any witnesses to be called
- f) his/her right to call witnesses on his/her behalf.
- g) The name and office of any adviser who will accompany the Headteacher, or senior manager, at the meeting.

An extra copy, together with any enclosures, will be provided for his/her companion.

1.3 This meeting is intended to establish the facts. It will be conducted by the Headteacher or a senior manager delegated by the Headteacher (or the Chief Executive Officer for a Headteacher). The meeting will allow the employee to respond to concerns about his/her performance and to make any relevant representations. This may provide new information or a different context to the information/evidence already collected.

1.4 The Headteacher, or senior manager, 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 process. In such cases, the capability procedure will come to an end.

1.5 The Headteacher, or senior manager may also adjourn the meeting if it is decided 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.

1.6 During the meeting, or any other meeting which could lead to a formal warning being issued, the Headteacher, or senior manager will:

- In the case of a teacher, identify the poor performance, including which of the standards expected of the teacher is not being met;
- Ensure the employee is given an opportunity to ask questions, present evidence, call witnesses, respond to evidence and make representations;

- Establish the likely causes of poor performance including any reasons why any measures taken so far have not led to the required improvement;
- give clear guidance on the improved standard of performance needed to ensure that the employee can be removed from formal capability procedures which may include the setting of new objectives focused on the specific area/s of poor performance that need to be addressed. It will include any success criteria that are appropriate and the evidence that will be used to assess whether or not the necessary improvement has been made;
- identify whether there are further measures which may improve performance and explain any support that will be considered and planned to help the employee, e.g. in-service training, visits to other schools, discussion with appropriate colleagues or professionals;
- 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 will be reasonable and proportionate, between four and ten weeks in normal circumstances, and will provide sufficient opportunity for improvement to take place. The length of time required will depend on the concerns raised with the employee, the nature of any support and training required, and sufficient time to establish whether performance has improved; and
- warn the employee formally that failure to improve within the set period could lead to a final written warning which could then lead to his/her dismissal.
- informed the employee of the right of appeal
- agree with the employee and any companion the date of the formal review meeting

1.7 Notes will be taken of formal meetings and a copy sent to the employee and any companion. Where a first warning is issued, the employee will be informed in writing of the matters discussed in 1.6 above. S/he will also be informed in writing that failure to achieve an acceptable standard of performance (within the set timescale), may result in a final written warning which could then lead to dismissal if wholly satisfactory performance is not achieved, together with the time limit for appealing against the first written warning.

1.8 Any letter confirming a warning will make it clear that if the teacher's performance is subsequently judged to have reached the required standard, the warning will then be disregarded and will be expunged from the file after no more than twelve months.

1.9 If the concerns relate to a lack of capability that poses a risk to the health, safety or wellbeing of children, or is likely to result in serious damage to pupils' education, the shorter timescale may be appropriate. In such cases, the senior manager may exceptionally decide to issue a first and final written warning. If to do otherwise would expose students to serious risk in terms of their health, safety, well-being or educational prospects.

2. Sickness absence and the use of this procedure

2.1 It is important that sickness absence should not delay or avoid the use of formal capability procedures. It is in the interests of all parties to address concerns about performance without undue delay. Arrangements will normally be made to seek medical advice from an occupational health adviser to assess the employee's health and fitness for continued employment at the school.

2.2 Consideration will be given to whether poor performance may be related to a disability and, if so, whether there are reasonable adjustments that could be made to the employee's working arrangements, including changing the duties or providing additional equipment or training. We may also consider making adjustments to this procedure in appropriate cases e.g moving from this procedure to procedures used by the school to terminate the employment of the employee on the grounds of ill health.

2.3 If an employee's medical condition is not serious enough to warrant a consideration of termination of employment on the grounds of ill health, the occupational health adviser will normally be asked to assess whether an employee absent through sickness is fit enough to attend a meeting under this procedure. In the event that the employee is deemed not fit to attend a formal capability meeting s/he may present a written submission for consideration and/or be represented by a companion in her/his absence.

3. Monitoring and review period following a formal capability meeting

3.1 A performance monitoring and review period will follow the formal capability meeting. Formal monitoring, evaluation, guidance and support will continue during this period. Following this monitoring and review period, the employee will be invited to a formal review meeting (see paragraph 4 below), unless s/he had been issued with a final written warning, in which case s/he will be invited to a decision meeting (see paragraph 6 below).

4. Formal review meeting

4.1 At least 5 working days before the date for the formal review meeting a written reminder will be given to the employee together with details of the meeting as set out in paragraph 1.2 above.

4.2 The formal review meeting will follow a similar procedure to that identified for the formal capability meeting as set out in paragraph 1.6 above.

4.3 If the senior manager (Chief Executive Officer for the Headteacher) is satisfied that the employee has made sufficient improvement, the formal capability procedure will cease and the appraisal process will re-start where the employee is subject to Section 1 above.

4.4 In cases:

- where some progress has been made and there is confidence that more is likely, it may be appropriate to extend the monitoring and review period;
 - where no, or insufficient improvement has been made during the monitoring and review period, the employee will receive a final written warning.
- 4.5 Notes will be taken at the formal review meeting and a copy will be sent to the employee and any companion.
- 4.6 Where a final warning is issued, the employee will be informed in writing that failure to achieve an acceptable standard of performance (within the set timescale), may result in dismissal and will be given information about the further monitoring and review period and the procedure and time limits for appealing against the final written warning. The date the decision meeting will be agreed with the employee and any companion.
- 4.7 At this stage, rather than refer the matter to a decision meeting, consideration could be given to the employee being given a different range of duties or an alternative post. By agreement, this may include transfer to a post suited to the employee's capabilities. If this post is at a lower salary level, the substantive lower salary would apply.

5. Right of Appeal against a formal written warning

5.1 If an employee feels that a decision to issue a first and/or final written warning, is wrong or unjust, s/he may appeal in writing against the decision

5.2 Appeals against a written warning shall be restricted to considering the reasonableness of the decision made by the Headteacher or senior manager any relevant new evidence not previously available to the Headteacher or senior manager or any procedural irregularities. A statement giving the reasons for the appeal should be submitted to the Clerk to the Governors within 5 working days of the formal written warning having been received.

5.3 All appeal hearings will be held as soon as possible after receipt of the appeal at an agreed time and place.

5.4 The appeal will be heard by the Appeals Panel of either the Local Governing Body for all staff except a Headteacher whose appeal would be heard by an Appeals Panel made up of Northampton Primary Academy Trust's Board of Trustees. The number of governors/Trustees on the Appeals Panel of Governors will not be less than three. The panel may be advised by a person engaged for the purpose by the Local Governing Body/Board of Trustees. The panel can either confirm the warning, reduce a final warning to a warning, or cancel the warning. The employee will be informed in writing of the results of the appeal hearing as soon as possible.

5.5 The same arrangements for notification and the right to be accompanied by a companion will apply for an appeal hearing as for the formal capability and review meetings and, as with those meetings, notes will be taken, and a copy sent to the employee and any companion.

5.6 Pending any appeal the employee will be expected to continue to work in accordance with targets set for the next stage of the procedure and his/her progress towards the achievement of these targets may be monitored during this period.

6. Decision meeting

6.1 At least 5 working days before the date of the decision meeting a reminder will be given in writing together with details of the meeting as in paragraph 1.2 above. The meeting will be conducted by the Headteacher, or Trust Chief Executive Officer in the case of a Headteacher.

6.2 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 where the employee is subject to Section 1 above.

6.3 If progress has been made and there is confidence that wholly satisfactory performance will be achieved by a short extension, it may be appropriate to extend the monitoring and review period rather than to dismiss. The final written warning will be extended for a short, specified assessment period.

6.4 If performance has remained unsatisfactory, a decision will be made that the employee will be dismissed. The employee will be informed in writing 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 whether the notice is to be served or there will be pay in lieu of notice, and the right of appeal.

7. Right of Appeal against a decision to dismiss

7.1 The employee has a right of appeal to the Appeals Committee of the Local Governing Body or Northampton Primary Academy Trust's Board of Trustees against a decision to dismiss.

7.2 The Appeals Committee shall consist of at least 3 governors/Trustees, none of whom will have had any previous involvement in the case.

7.3 The employee's notice of appeal should be sent to the Clerk to the Governors within 5 working days of receipt of the written decision to dismiss, setting out the grounds of appeal.

7.4 Appeal hearings should be held as soon as possible after receipt of the appeal and will be conducted in the same way as appeals referred to in paragraph 5 above.

8. Notice of Dismissal

8.1 Following a decision to dismiss, the Local Governing Body will notify the employee in writing that the employee is to be dismissed, whether with notice or with pay in lieu of notice in accordance with the decision of the Headteacher (or Disciplinary Committee).

8.2 In the event that the Appeal Committee of the Local Governing Body/ Board of Trustees decides not to uphold the decision to dismiss, the employee shall be informed immediately, and the notice of dismissal shall be immediately withdrawn.

9. Grievances arising during the procedure

9.1 Where an employee has a grievance against the way the Headteacher or senior manager has conducted the procedure this will normally be dealt with under the appeals process set out above. However, in very exceptional circumstances, where the behaviour of the Headteacher or senior manager is the cause of the grievance, it may be appropriate to suspend this procedure for a short period until the grievance has been considered.

10. Trade Union Officials

10.1 Although normal performance standards must apply to an employee who is a lay trade union official, no disciplinary action, beyond an informal oral warning will be taken until the circumstances of the case have been discussed with the relevant professional trade union officer.

11. Confidentiality

11.1 Our aim is to deal with performance matters sensitively and with due respect for the privacy of any individuals involved. All employees must treat as confidential any information communicated to them in connection with a matter which is subject to this capability procedure.

11.2 The employee, and anyone accompanying the employee (including witnesses), must not make electronic recordings of any meetings or hearings conducted under this procedure. Failure to observe confidentiality could be a reason for disciplinary action under the school's disciplinary procedure.

12. Supporting Documents

- NPAT Disciplinary Hearing and Appeal Guidance
- NPAT Management of Absence Policy

Appendix A

Lesson Observation, Learning Walks and Drop-Ins Protocol and Lesson Observation Form

1. Introduction

Northampton Primary Academy Trust are committed to ensuring high standards of teaching and learning and recognise the value of monitoring through classroom observation and drop-ins in enabling effective quality assurance throughout the school and continuing professional development.

2. Rationale

Regardless of their purpose, our priority is to ensure classroom observations and drop ins are always:

- developmental
- supportive
- linked to the school's improvement plan
- and contribute to Northampton Primary Academy Trust's overall aim to provide teaching and learning that is at least 'good'.

Those involved in the process will:

- carry out the role with professionalism, integrity and courtesy
- seek to reach agreement in advance on when classroom observation to be carried out
- evaluate objectively
- report accurately and fairly
- and respect the confidentiality of the information gained.

3. The policy in practice

3.1 Timescale for lesson observations

In accordance with the principle outlined above, the Headteacher will:

- consult staff on the pattern of classroom observation which teachers can expect annually and seek agreement with the teachers and their recognised organisations on these arrangements. These will not exceed three formal observations in any one year unless there are concerns about the performance of a colleague, in which case, discussions will take place in terms of capability and observations will take place in line with the school's capability procedures. N.B. There may be circumstances where

the reviewee chooses to request a further observation. These will be honoured in order to support the development of their practice.

- ensure that there will be a reasonable amount of time between classroom observations, irrespective of the purpose of those observations;
- ensure that classroom observation will be undertaken solely by persons with qualified teacher status and the appropriate training and professional skills.
- ensure that as far as possible, the results of observations are used for multiple purposes, in order to restrict the number of observations carried out.

3.2 Preparation for observations

In keeping with Northampton Primary Academy Trust's commitment to supportive and developmental classroom observation, the date and time of observations conducted for the purposes of performance management or for the evaluation of standards of teaching and learning, or for both purposes, will be fixed at least 5 working days in advance. Every effort will be made for observation to be conducted at an agreed time.

Before any performance management observation is conducted, there will be an opportunity for teacher and observer to meet in order that the context of the lesson to be observed can be discussed. Where there will be another teacher or a member of support staff present during a class which is to be observed, there will be consideration at this meeting of any necessary arrangements to be made.

3.4. Feedback and records

Verbal feedback from classroom observation at a pre-arranged time for the purposes of appraisal will be given as soon as possible after the observation and no later than the end of the following working day. It is the responsibility of the colleague who has been observed to make sure this has occurred.

Written feedback via copies of the lesson observation form will be provided within five working days of the observation taking place. The written record of feedback will include the date on which the observation took place, the lesson observed and the length of the observation.

The teacher will be able to append written comments to the feedback document. No written notes in addition to the written feedback will be kept.

Copies of the lesson observations will be kept securely by the Headteacher.

4. Learning Walks

The purpose of a learning walk will be published in advance. Feedback on the learning walk will be shared with colleagues. Learning walks may be undertaken by any member of staff

but will usually be carried out by members of the NPAT School Improvement Team or School Leadership Team.

- Pupils will not be asked for their views of an individual teacher during learning walks but may be asked about their experience of learning.
- There will be no evaluation of an individual teacher during a learning walk. Learning walks are intended to inform generic monitoring and evaluation of the day to day learning experience of children at our school.
- Copies of documentation of learning walks carried out will be kept securely by the Headteacher, with secure access given to members of the Senior Leadership Team, as appropriate.

5. Drop- Ins

The school recognises that visits to classrooms by the NPAT School Improvement Team Headteacher, senior staff or peers in order to support teachers, improve practice or talk to pupils are separate from classroom observations. The purpose of visits by the NPAT School Improvement Team, Headteacher, senior staff or other colleagues to classrooms will be made clear before they occur.

This will occur via:

- the published programme for monitoring and quality assurance
- notification of visits by external agencies by means of the Staff Bulletin, and Whole Staff Briefings e.g. visits by the School Improvement Partner, governors etc.

Likewise, the school's SENCo will need to be able to observe monitor LSAs, track pupils, look at behaviour issues and resources used in class. These monitoring observations will be planned and advanced notice will be given by the SENCo to the classroom teacher. Where such monitoring observations take place, the focus of the monitoring observation will not be the practice of the class teacher.

Lesson Observation Form



Staff Details			
Teacher's Name:			
Observer's Name:			
Date:		Duration in minutes:	
Focus and Context			
Focus of the lesson:			
Context of the lesson:			
Description of the Lesson			

Evaluation of Lesson

Points for further development

Signed			
Teacher:		Date:	
Observer:		Date:	

Once completed and signed a copy of this form is to be given to the Teacher.

Headteacher Appraisal



Headteacher Appraisal Attendees			
Headteacher:			
External Advisor:			
Chief Executive Officer:			
Appointed LGB Governors:			
Date of Meeting:			
Current Leadership Range:		Current Leadership Point:	
Assessment of Performance Against Previous Year's Objectives			
Objective	Description:		
	Success Criteria:		

	Performance Comment:
	Objective: <input type="checkbox"/> Met <input type="checkbox"/> Partially Met <input type="checkbox"/> Not-Met

Objective	Description:
	Success Criteria:
	Performance Comment:
	Objective: <input type="checkbox"/> Met <input type="checkbox"/> Partially Met <input type="checkbox"/> Not-Met
	Description:

Objective	Success Criteria:
	Performance Comment:
	Objective: <input type="checkbox"/> Met <input type="checkbox"/> Partially Met <input type="checkbox"/> Not-Met

<i>Agreed Objectives for the Forthcoming Year</i>	
Objective	Description:
	Success Criteria:
	Performance Comment:
	Description:

Discussion on Well-being of Headteacher

Headteacher CPD/Support requirements for the Forthcoming Year

Pay Progression

Recommendation for pay progression based on appraisal:

Yes If yes, what scale point will they progress to:

No If no, reasons should be provided in writing and should include information about the process for appeal.

Signed

Headteacher:		Date:	
Chief Executive Officer:		Date:	
Local Governing Body:		Date:	

Once completed and signed a copy of this form is to be given to the Headteacher.



Teaching Staff Appraisal

Appraisal Details			
Employee's Name:			
Job Title:			
Appraiser's Name:			
Time in Post:		Length of Service:	
Appraisal Year:		Date of Initial Meeting:	
Current Salary Range:		Current Salary Point:	
Objective and Assessment of Performance			
Objective	Description:		
	Success Criteria:		

	Mid-Year Performance Comment:
	End of Year Performance Comment:
	Objective: <input type="checkbox"/> Met <input type="checkbox"/> Partially Met <input type="checkbox"/> Not-Met

Objective	Description:
	Success Criteria:
	Mid-Year Performance Comment:
	End of Year Performance Comment:
	Objective: <input type="checkbox"/> Met <input type="checkbox"/> Partially Met <input type="checkbox"/> Not-Met

Objective	Description:
	Success Criteria:
	Mid-Year Performance Comment:
	End of Year Performance Comment:
Objective: <input type="checkbox"/> Met <input type="checkbox"/> Partially Met <input type="checkbox"/> Not-Met	

Teaching Standards

Have the relevant standards been met: Yes No If no, please explain why under the

Appraiser's End of Year

Comment

Appraiser's End of Year Comment

Employee's End of Year Comments

Employee's CPD/Support requirements for the Forthcoming Year

Discussion on Teacher's well-being

Pay Progression

Recommendation for pay progression based on appraisal:

Yes If yes, what scale point will they progress to:

No If no, reasons should be provided in writing and should include information about the process for appeal.

Signed			
Employee:		Date:	
Appraiser:		Date:	

Once completed and signed a copy of this form is to be given to the Employee

Appendix D

NPAT Central Team Appraisal and School Senior Support Staff Appraisal



Appraisal Details			
Employee's Name:			
Job Title:			
Appraiser's Name:			
Time in Post:		Length of Service:	
Appraisal Year:		Date of Initial Meeting:	
Current Salary Range:		Current Salary Point:	
Objective and Assessment of Performance			
Objective	Description:		
	Success Criteria:		

	Mid-Year Performance Comment:
	End of Year Performance Comment:
	Objective: <input type="checkbox"/> Met <input type="checkbox"/> Partially Met <input type="checkbox"/> Not-Met

Objective	Description:
	Success Criteria:
	Mid-Year Performance Comment:
	End of Year Performance Comment:
	Objective: <input type="checkbox"/> Met <input type="checkbox"/> Partially Met <input type="checkbox"/> Not-Met

Objective	Description:
	Success Criteria:
	Mid-Year Performance Comment:
	End of Year Performance Comment:
Objective: <input type="checkbox"/> Met <input type="checkbox"/> Partially Met <input type="checkbox"/> Not-Met	

Appraiser's End of Year Comment

Employee's End of Year Comments

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Discussion on staff-member's well-being

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Employee's CPD/Support requirements for the Forthcoming Year

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Pay Progression

Recommendation for pay progression based on appraisal:

Yes If yes, what scale point will they progress to:

No If no, reasons should be provided in writing and should include information about the process for appeal.

Signed

Employee:		Date:	
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Appraiser:		Date:	
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Once completed and signed a copy of this form is to be given to the Employee

Appendix E

School Support Staff Appraisal



Appraisal Details			
Employee's Name:			
Job Title:			
Appraiser's Name:			
Time in Post:		Length of Service:	
Appraisal Year:		Date of Initial Meeting:	
Current Salary Range:		Current Salary Point:	
Objective and Assessment of Performance			
Objectives	Description:		
	1:		
	2:		
	3:		
Success Criteria:			
1:			
2:			
3:			
End of Year Performance Comment:			
1:			
2:			
3:			
Objective 1:	<input type="checkbox"/> Met	<input type="checkbox"/> Partially Met	<input type="checkbox"/> Not-Met

	Objective 2:	<input type="checkbox"/> Met	<input checked="" type="checkbox"/> Partially Met	<input type="checkbox"/> Not-Met
	Objective 3:	<input type="checkbox"/> Met	<input checked="" type="checkbox"/> Partially Met	<input type="checkbox"/> Not-Met

Appraiser's End of Year Comment

Employee's End of Year Comments

Discussion on staff-member well-being

Employee's CPD/Support requirements for the Forthcoming Year

Pay Progression

Recommendation for pay progression based on appraisal:

Yes If yes, what scale point will they progress to:

No If no, reasons should be provided in writing and should include information about the process for appeal.

Signed

Employee:		Date:	
Appraiser:		Date:	

Once completed and signed a copy of this form is to be given to the employee

Appendix F

Support Meeting Form



Details		
Employee's Name:		
Job Title:		
Line Manager's Name:		
Employee's Companion:		
Line Manager's Advisor:		
Date of Meeting:		
Nature of Support:	<input type="checkbox"/> Informal <input type="checkbox"/> Formal Capability	
Support Start Date:		Next Meeting Date:
Line Manager's Comments		
Employee's Comments		

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1

Outline of Required Support

Provide an overview of the support.

Action Points

Please ensure the Action Plan is completed and attached to this document.

<i>Signed</i>			
Employee:		Date:	
Appraiser:		Date:	

Once completed and signed a copy of this form is to be given to the Employee



Appendix G

Support Action Plan

This document can be used as a general outline of support to be offered or as part of the informal support or formal capability procedure.

Employee's Name:	
Job Title:	
Line Manager's Name:	
Date of Meeting:	

<i>Item</i>	<i>Areas of Concern</i>	<i>Standard Required</i>	<i>Support Requested</i>	<i>Expectation</i>	<i>How Measured</i>	<i>Time Period</i>
1	Please give specific examples:	Target to be set:	To be provided by:			
2						

3						
---	--	--	--	--	--	--

5						

6						
7						