



Appraisal Policy for Teachers

**Model HR Policy and Procedure for
Schools and Academies**

Last Reviewed: September 2019

Policy Outline

Reviewing the Policy

The TfC HR Advice Team will keep the operation of this policy under review and will make such changes to the policy as deemed appropriate following consultation with the trade unions, where appropriate.

Personalising the Policy

TfC HR Advice Team has developed a number of model policies for schools and academies to consider and adopt as their own. There are a number of sections within this policy which require either amendments and/or deletion to the specific paragraphs to ensure the policy is accurate in setting out your operational requirements. We advise that these sections are amended prior to the policy being adopted.

The relevant sections in this policy we advise you consider are;

[SECTION 6](#) Include the number sub-group members of the Governing Board who will be responsible for appraising the Headteacher

[SECTION 13](#) Include any additional points the appraisal reports will include in your school

Consultation with recognised trade unions has been undertaken prior to the issuing of this model policy. Should you wish to make amendments to the contents of this policy (save for those as set-out above in 'Personalising the Policy') then you may need to enter in further consultation with recognised trade unions. Please seek advice from your allocated HR Adviser.

In addition, the term 'school' is used throughout this policy and refers to a school or an academy. This reference could be amended throughout the policy where deemed appropriate

Summary of Changes

The inclusion of a new section "Development and Improvement Stage" with an example Development Plan. This is a more structured mechanism for support which should take place before an employee transitions to the Capability Procedure.

Added clarification around timescales including stating that an employee should have the opportunity to object to their appraisal report and discuss this with the headteacher/appraiser before a pay determination is made.

Contacts for help and assistance

Please contact your allocated HR Adviser within the TfC HR Advice Team for help and assistance in applying the content of this policy. Alternatively you can email the TfC HR Advice Team at;

Email HRAdvice@togetherforchildren.org.uk

Contents

1	Introduction
2	Data Protection
3	Confidentiality
4	Consistency of Treatment and Fairness
5	The Appraisal Period
6	Appointing Appraisers
7	Setting Objectives
8	Classroom Observation and Evidence Gathering
9	Continuing Professional Development and Support
10	Reviewing Performance and Feedback
11	Development and Improvement Stage
12	Transition to Capability
13	Annual Assessment
14	Objections to the Appraisal Report
15	Pay Progression Based on Performance
16	Monitoring and Evaluation
17	Retention of Statements
18	Additional Information

Appendices

Appendix 1 -	Classroom Observation Protocol for the Purpose of Appraisal
Appendix 2 -	Example Development Plan

1 Introduction

This policy sets out the framework for a clear and consistent assessment of the overall performance of teachers, including the 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. This has been written following consideration of DFE guidance, model policies as well as the Report of the Teacher Workload Advisory Group relating to making data work.

A separate policy sets out the arrangements that will apply when teachers fall below the levels of competence that are expected of them. (See the school's Capability Procedure).

This policy should be read in conjunction with the school's Pay Policy and the School Teachers' Pay and Conditions Document.

This policy applies to the Headteacher and to all teachers employed by the school except those undergoing induction (Newly Qualified Teachers) and those who are subject of capability procedures.

2 Data Protection

A written record of all meetings conducted under this procedure will be made, either by the person holding the meeting or by an additional person arranged by the school to take notes. The school processes any personal data collected during the performance improvement procedure in accordance with its data protection policy. Any data collected is held securely and accessed by, and disclosed to, individuals only for the purposes of completing the performance improvement procedure. Inappropriate access or disclosure of employee data constitutes a data breach and should be reported in accordance with the School's data protection policy immediately. It may also constitute a disciplinary offence, which will be dealt with under the school's disciplinary procedure

3 Confidentiality

The appraisal processes will be treated with confidentiality. However, the desire for confidentiality does not override the need for the headteacher and governance board to quality-assure the operation and effectiveness of the appraisal system. Best practice is that the headteacher or appropriate colleague will review all teachers' objectives and written appraisal records, in

order to moderate consistency of approach and expectation between different appraisers.

4 Consistency of Treatment and Fairness

The governance board 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 governance board is aware of the guidance on the Equality Act issued by the Department for Education.

5 The Appraisal Period

The appraisal period will be for 12 months from 1st September 2019.

Where a teacher commences their employment part way through the performance management cycle, there will be flexibility to have a shorter or longer appraisal period with the view to bringing those individual arrangements in line the whole school as soon as possible.

The length of the appraisal period for a teacher who is employed on a fixed term contract for a period of less than 12 months will be determined by the duration of the contract.

Where a teacher changes post part way through a cycle, the headteacher shall determine whether the cycle should begin again and whether to change the appraiser.

6 Appointing Appraisers

The Headteacher will be appraised by the Governing Board, supported by a suitably skilled and/or experienced external adviser (who has QTS) who has been appointed by the Governing Board for that purpose.

In this school the task of appraising the Headteacher, including the setting of objectives, will be delegated to a sub-group consisting of **two/three** (delete as appropriate) members of the Governing Board.

The Headteacher will decide who will appraise other teachers. In cases where the Headteacher is not the teacher's line manager, the Headteacher may delegate the duties imposed upon the appraiser, in their entirety, to the teacher's line manager.

Where a teacher has more than one line manager, the Headteacher will determine which line manager will be best placed to manage and review the teacher's performance.

Where a teacher, including the Headteacher, is of the opinion that an appointed appraiser is unsuitable for professional reasons, s/he may submit a written request for that appraiser to be replaced, stating those reasons. Where those objections are rejected, the individual will be informed in writing.

Where it becomes apparent that the appraiser will be absent for the majority of the cycle, or is unsuitable for professional reasons, the Headteacher may perform those duties or delegate them in their entirety to another appropriate teacher. Where this teacher is not the appraisee's line manager the teacher will have a status in the staffing structure which is equivalent to or higher than the teacher's line manager.

7 Setting Objectives

The setting and agreement of objectives is fundamentally important to the effective operation of a performance management system that aims to link individual performance to pay progression.

The Headteacher's objectives will be set by the Governing Board after consultation with the external adviser. The National Standards of Excellence for Headteachers will be used by the Governing Board to inform objective setting.

Objectives for each teacher will be set before or as soon as practical after, the start of each appraisal period.

The objectives set for each teacher will be SMART: Specific, Measurable, Achievable, Realistic and Time-bound, will be equitable in relation to other teachers with similar roles and responsibilities and will be appropriate to the teacher's role and level of experience.

Objectives and performance management discussions will not be based on teacher generated data and predictions, or solely on the assessment data for a single group of pupils.

The objectives set for each 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. The appraiser and teacher will seek to agree the objectives but, if that is not possible, the Headteacher will determine the objectives. Objectives should be revised if circumstances change.

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. In this school, all teachers will be assessed against the set of standards contained in the document called 'Teachers Standards' published in May 2012. The

Headteacher or Governing Board (as appropriate) will also consider whether certain teachers should also be assessed against other sets of standards published by the Secretary of State that are relevant to them and will advise the individual accordingly.

In this school, all teachers, including the Headteacher, will have up to, but no more than three objectives per cycle, which may include whole school/team objectives.

8 Classroom Observation and Evidence Gathering

Judgements relating to performance will be supported by evidence.

This school believes that observation of classroom practice and other responsibilities is important both as a way of assessing a teacher's 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 in line with the Classroom Observation Protocol attached at Appendix 1.

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.

Classroom observations will be carried out by those who have Qualified Teacher Status.

Other examples of evidence which may be used include:

- Task observations;
- Scrutiny of books;
- Reviews of assessment results and lesson planning records;
- Internal tracking;
- Moderation within and across schools
- Pupils' and parents' voice and;
- Evidence supporting progress against teacher standards.

Teachers (including the Headteacher) who have responsibilities outside the classroom should expect to have their performance of those responsibilities observed and assessed as part of the appraisal process.

For appraisal purposes, the Governing Board is committed to ensuring that classroom and task observation is developmental and supportive and that those involved in the process will:

- carry out the role with professionalism, integrity and courtesy;

- evaluate objectively;
- report accurately and fairly
- give feedback as soon as reasonably practical and;
- respect the confidentiality of the information gained.

9 Continuing Professional Development and Support

This school believes appraisal is a **supportive** process, which will be used to inform continuing professional development. The school's CPD programme will be informed by the training and development needs identified during the appraisal process. This school also 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 on-going professional development needs and priorities of individual teachers.

The Governing Board will ensure in the budget planning that, as far as possible, appropriate resources will be made available in the school budget for any training, support and CPD.

In the case of competing demands on the school budget, a decision on relative priority will be taken on the provision of training or CPD with regard to the extent to which: a) the CPD identified is essential for an appraisee to meet their objectives; and b) the extent to which the training and support will help the school to achieve its priorities. The school's priorities will have precedence.

Teachers should not be held accountable for failing to make good progress towards meeting their performance criteria where the support recorded in the planning statement has not been provided.

10 Reviewing Performance and Feedback

An interim mid-term review will be carried out to review progress against the objectives.

Teachers will receive constructive feedback on their performance throughout the year (at a time agreed at the start of the process) 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 that require further development. Where there are concerns the appraiser 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 and discuss the concerns;
- agree any appropriate support (for example, coaching, mentoring, structured classroom observations, additional training, visits to other classes) that will be provided to help address those specific concerns and for how long the support will be put in place;
- make clear how, and by when, the appraiser will review progress;
- 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. Where there are still concerns regarding performance or sufficient improvement has not been made the appraiser can move towards a development plan where a more structured plan for support can be initiated.

11 Development and Improvement Stage

This stage should be used when a more structured mechanism for support is required to support the employee to improve. A meeting should be held with the employee to reinforce what the performance concerns are and discuss how to resolve these issues. A development and improvement plan will be drafted at this meeting, an example development plan is attached as [Appendix 2](#). An agreed timescale for this stage should be agreed and, in most cases should be for a period of 6 weeks.

This is an informal support stage although employees should be encouraged to discuss with their trade union representative that they have been issued with a development plan under the appraisal policy. A mid way review meeting should be arranged to give feedback on progress being made and then a final review at the end of the development plan will be scheduled. The employee should be informed that if insufficient progress is made during this stage there is a possibility that this could result in the transition to the capability procedure.

A record of the discussion will be made in writing to the employee and sent out after the meeting.

At the end of the Development and Improvement stage (usually 6 weeks) a final review meeting will be held to determine if performance has improved and what to do next. If the required improvement has been made, the teacher should be told of this and encouraged in writing to maintain the improvement. The teacher should be informed that they will continue to be monitored under the performance management/appraisal policy. If the development plan has not been met satisfactorily, the Line Manager will determine whether to extend the period of review (usually no more than 2 weeks) or to convene a transition

meeting in line with the School's capability policy. The decision will be confirmed in writing.

There is no right of appeal of the development and improvement stage.

The individual should be advised that should a decision be taken to move to the capability procedure following the transition meeting there would be a requirement to disclose in writing if asked, whether or not that member of staff has, in the preceding two years, been the subject of capability procedures if the individual applies for a role in another school or academy. This is in accordance with the School Staffing (England) (Amendment) Regulations 2012.

12 Transition to Capability

If, when progress is reviewed after a period of support under the development and improvement stage, the appraiser is not satisfied with the teacher's progress, the school will consider managing the teacher's performance through the capability procedure rather than the appraisal process. A clear distinction must be made when the teacher moves from the appraisal process to capability.

In this regard, the school will follow its separate Capability Procedure.

13 Annual Assessment

Each teacher's performance will be formally assessed in respect of each appraisal period. In assessing the performance of the Headteacher, the Governing Board will consult the external adviser.

Assessment of performance will be on the basis agreed at the beginning of the cycle.

It is best practice to hold a mid year review (usually around February half term) where any areas of concern regarding performance and progression towards objectives should be raised at this point, if they are known. This is to enable the teacher to have time to make sufficient progress to be able to meet and/or exceed their objectives by the end of the appraisal period.

The teacher will receive as soon as practicably possible following the end of each appraisal period, and have the opportunity to comment in writing on, a written appraisal report.

In this school, teachers will receive their written appraisal reports by 31 October (31 December for the Headteacher). The employee should receive their written appraisal report at least 5 working days before a pay determination is made ensuring that any objections have been discussed and recorded before any pay determination is made.

The appraisal 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 training and development needs and identification of any action that should be taken to address them;
- a recommendation on pay where that is relevant
- a space for the teachers own comments
- (include here if there is anything else appraisal reports will include in your school)

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

14 Objections to the Appraisal Report

Any objections against the contents of the written appraisal report should be made in writing to the Headteacher or, Chair of Governors in the case of the Headteacher, within 5 working days of receipt of the written report. Whilst there is no formal right of appeal against the appraisal, the Headteacher/appraiser should meet with the employee to discuss the objections as soon as reasonably possible after the objections have been received. The discussion about the objections should be recorded on the appraisal report and should take place before the pay determination has been made.

15 Pay Progression Based on Performance

The Governing Board will review every teacher's salary annually in accordance with the School's Pay Policy and the requirements of the School Teachers' Pay and Conditions Document.

Decisions regarding all pay progression will be made with reference to the teacher's appraisal records and the pay recommendations they contain. All pay recommendations should be clearly attributable to the performance of an employee.

Pay recommendations made by the appraiser, will be based on an assessment of performance against agreed performance objectives. For further details regarding the evidence to be used to judge performance please refer to [section 5](#).

Whilst there is no formal right of appeal against the appraisal report, individuals have a right of appeal against any pay determination made as a result of the appraisal process. An appeal relating to the pay determination should be managed using the School's Pay Policy. Please refer to the School's Pay Policy for further information.

16 Monitoring and Evaluation

The Headteacher will provide the governing Board with a written report on the operation of the school's appraisal policy annually. The report will not contain any information which would enable any individual to be identified.

The report will include:

- the operation of the appraisal policy;
- the effectiveness of the school's appraisal procedures;
- teachers' training and development needs.

17 Retention of Statements

Appraisal planning and review statements will be retained for a minimum period of six years.

18 Additional Information

If long term sickness absence coincides with the commencement of this procedure the case will be dealt with in accordance with the attendance management procedure and the teacher will be referred immediately to occupational health to obtain advice on the member of staff's health and fitness to continue with this procedure. In some cases it may be appropriate for this procedure to continue during a period of sickness absence.

If an employee has persistent short term absence which is impacting on the ability to complete the performance review period within the set timescales the case should be dealt with in accordance with the attendance management procedure. If patterns of absence during the appraisal process are noted this should be managed as part of the attendance management procedure including potentially issuing disciplinary sanctions where employees hit trigger levels. Consideration may be given on making decisions around performance despite short term absence by looking at the overall performance of the individual. Advice should be sought from HR in these circumstances.

In cases where an employee is considered to be experiencing mental ill health, as a reasonable adjustment consideration should be given to allow

them to have an appropriate person accompanying them to the meeting. If this is the case the employee would have to confirm, in advance of any meeting, who that person is.

Classroom Observation Protocol for the Purpose of Appraisal

- 1.0 The Governing Board is committed to ensuring that classroom observation is developmental and supportive and that those involved in the process will:
 - carry out the role with professionalism, integrity and courtesy;
 - evaluate objectively;
 - report accurately and fairly; and
 - respect the confidentiality of the information gained
- 2.0 The total period for appraisal classroom observation arranged for any teacher will have regard to the individual circumstances of the teacher. Observation will be kept to the minimum needed to determine that objectives are met and in accordance with local agreements. The number of observations will be consistent across the school and mindful of the effect on individuals.
- 3.0 The arrangements for appraisal classroom observation will be included in the annual assessment and will include the amount of observation, specify its *primary purpose*, any particular aspects of the teacher's performance which will be assessed, the duration of the observation, when during the appraisal cycle the observation will take place and who will conduct the observation.
- 4.0 An appraisal lesson observation will be a minimum of thirty minutes and the reviewer shall notify the reviewee of the date and timing of appraisal lesson observation at least five working days in advance of the proposed observation.
- 5.0 Where evidence emerges about the individual's teaching performance which gives rise to concern during the cycle, extra classroom observations may be arranged.
- 6.0 Classroom observations for appraisal will only be undertaken by an employee of the school who has QTS.
- 7.0 Classroom observations for appraisal will only be undertaken by those who have had adequate preparation and the appropriate professional skills to undertake observation and to provide constructive oral and written feedback and support.
- 8.0 Where a judgement is to be made, only one person will carry out the classroom observation.
- 9.0 Oral feedback should be given as soon as possible after the observation and no later than the end of the following working day. It will be given during directed time in a suitable, private environment.

- 10.0 Written feedback will be provided within five working days of the observation taking place. If issues emerged from an observation that were not part of the original focus of the observation as recorded in the annual assessment these should also be covered in the written feedback.
- 11.0 The written record of feedback shall include the date on which the observation took place, the lesson observed and the length of the observation. The teacher has the right to append written comments on the feedback document.

Example Development and Improvement Plan

Appraisal Support Programme – Development and Improvement Stage		
School/Academy		
Staff Member:		
Date for review period:	Start date: Interim Review date: Final review date:	

Objective	Activity	Date/Timescale	Support needed	Success Criteria	Monitoring	Feedback
Example: Plan a well structured lesson	Submit weekly lesson plans in line with school planning policy which include lesson aims,	Submitted by 2pm, Thursday weekly	Refresher session with XX to outline expectations of school planning. Meeting with HT	A well structured lesson plan covering all aspects as outlined in the policy.	Weekly by Headteacher for 2 weeks.	Mr X has managed to submit lesson plans for the deadline however more work is needed re

	objectives, differentiation etc		3pm on Friday to give feedback			differentiation.

Headteacher comments:

Interim review:

Final review:

Staff Member Comments:

Interim Review:

Final review:

Headteacher's signature: _____

Staff member signature: _____