



# Teacher Appraisal Policy

This procedure has been agreed by the following professional associations/ trade unions representing staff in schools:

- National Union of Teachers
- National Association of Schoolmasters Union of Women Teachers
- Association of Teachers and Lecturers
- National Association of Headteachers
- Association of School and College Leaders

**Responsibility:** Governors / Headteacher

**Reviewed:** 19 November 2013

**Next Review:** 19 November 2015



## **Introduction**

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, under this adopted policy, 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.

The arrangements under which the appraisal of teachers' performance will operate should therefore be set out within the school's own adopted policy. In designing arrangements which suit their own circumstances schools may choose to include details from its previous performance management policy established under the 2006 Regulations that are no longer covered by the Appraisal Regulations. In adopting a policy schools will want to consider whether past arrangements have operated effectively and have met the needs of the school. This model policy has been drafted to include options to retain past practice.

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 model policy for appraising performance applies only to teachers, including headteachers, but schools might wish to adapt it for use with all staff. It is good practice for schools to consult with staff on their appraisal and capability policies prior to final adoption. This model policy has been provided as an optional resource for schools' use in reviewing and developing their own policies.

This model policy covers arrangements for 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 supersedes the previous performance management model policy and guidance, which had been designed to support the 2006 Regulations.

In developing a policy for appraisal and capability a governing body's preference may be to have appraisal and capability procedures which are covered by separate policies, rather than being separate sections of one policy. This model appraisal policy reflects this preference. It is acknowledged within this model policy, however, that where serious concerns about a teacher's performance remain following a period of support and assessment provided through the appraisal process, then consideration will need to be given to whether it will be necessary to further manage the teacher's performance under the school's adopted capability procedure.

In the model policy:

**Text in bold** indicates statutory requirements contained in the Appraisal Regulations.

*Text in italics* indicates a policy decision over which the school has discretion and needs to take a decision on prior to formal adoption. Where there are optional arrangements which a school may wish to consider this is indicated. There may be included additional bracketed text by way of further explanation of the decision required.



## Policy for appraising teacher performance

The Governing Body of Woodlands School adopted this policy on 19<sup>th</sup> November 2013 following consultation with the recognised teaching unions.

This policy will be reviewed every two years unless significant changes are required due to further possible changes in national policy or agreements.

### Purpose

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.

Under this policy the appraisal process will be used to address any concerns that are raised about a teacher's performance through the provision of support and the monitoring and assessment of improvement. The policy also clarifies the actions that may be necessary where concerns over a teacher's performance then remain and consideration needs to be given to whether action under the school's adopted capability procedure is necessary.

### Application of the policy

**This policy covers the appraisal arrangements and applies to the headteacher and to all teachers employed by the school, except those on contracts of less than one term, those undergoing statutory induction, ie NQTs, and those teachers who are subject to the school's adopted capability procedure.**

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 develop and to continue to improve their professional practice.

### The Appraisal Period

**The appraisal period will run for twelve months** from 1<sup>st</sup> September to 31<sup>st</sup> August.

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 the school e.g. a two term appraisal period for teachers who start with



the school on 1<sup>st</sup> January, with a view to bringing his/her cycle into line with the cycle for other teachers as soon as possible.

### **Appointing Appraisers**

**All appraisers of teachers, other than those appraising the head teachers, will be qualified teachers and will be suitably trained.**

**The head teacher 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 headteacher, including the setting of objectives, will be delegated to a sub-group (committee) consisting of three members of the Governing Body, none of whom are employed to work at the school.

The headteacher will decide who will appraise other teachers and can therefore delegate responsibility to other members of staff. Normally the appraiser will have line management responsibility for the appraisee and will have undertaken appropriate appraiser training. Where teachers have an objection to the head teacher's choice, their concerns will be carefully considered, and where possible, an alternative appraiser will be offered.

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

If the headteacher appoints an appraiser who is not the teacher's line manager, the appraiser to whom/she/he delegates those duties will have an appropriate position in the staffing structure, together with the necessary background knowledge, skills and training to undertake the role.

Where a teacher is experiencing difficulties and the head teacher is not the appraiser, the head teacher may undertake the role of appraiser. ( see also the section on Feedback)

### **Setting Objectives**

**The headteacher's objectives will be set by the Governing Body after consultation with the external adviser.** This will be through the governors (sub-group/committee of governors) with delegated responsibility as indicated above.

**Objectives for each teacher will be set before, or as soon as practicable after, the start of each appraisal period.** The objectives set for each teacher, will be Specific, Measurable, Achievable, Realistic and Time-bound (SMART) and will be appropriate to the teacher's role and level of experience. They will be clearly defined and appraisers and appraisees will be clear about what success will look like and how progress will be measured.



In this school all teachers, including the headteacher, will normally have 3 objectives but the number should not arbitrarily determine an individual's chosen objectives. However appraisers should ensure workload is manageable and reflective of an individual's level of responsibility and position within the pay scale. Moderation of Appraisal Plans will ensure they are appropriate in all aspects irrespective of the number of objectives set.

A decision may be taken that teachers, including the headteacher, will have one, or exceptionally two, whole school or whole team objectives.

The appraiser will take into account the effects of an individual's circumstances, including any disability, when agreeing objectives. For example, adjusting objectives following an extended period of absence to allow them to readjust to their working environment.

The appraiser and appraisee 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 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 development/improvement plan (see Quality Assurance and Consistency of Treatment and Fairness below).

**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 addition to being assessed against the objectives set all teachers will be assessed against the set of standards contained in the document called "Teachers' Standards 2012". The headteacher or governing body (as appropriate) will consider whether certain teachers should also be assessed against other sets of standards published by the Secretary of State that are relevant to them.

The standards and objectives against which performance will be assessed will be reflected in a written appraisal plan, attached as Annex 1. Part A is for completion at the start of the appraisal period indicating:

- **the relevant standards against which the teacher's performance is to be assessed;**
- **details of the teacher's objectives for the appraisal period in question;**
- arrangements for classroom observations
- the success criteria for achievement of objectives and evidence to be considered
- any specific support arranged for the teacher



Appraisers must ensure that set objectives are robust and measurable to ensure once a decision is made at the end of the appraisal cycle regarding achievement of objectives, the appropriate pay progression decision can be made under the Schools Pay Policy Framework.

Appraisers should ensure they consider differentiation when setting objectives. If a teacher holds a post of greater responsibility (e.g. Leadership, TLR, UPR) then consideration should be given to more challenging objectives with greater impact on whole school initiatives.

## **Reviewing Performance**

### **Review Meetings**

An assessment of performance over the appraisal period is the end point to the annual appraisal process. Performance and development priorities will be reviewed and addressed on a regular basis throughout the year. Any interim review meetings agreed and arranged between the appraiser and the teacher should be focused on specific issues related to performance and set objectives will be held on the following basis:

- A Half termly review meeting during the appraisal period followed by a final meeting to assess and record performance to take place after completion of the appraisal period in the Autumn Term but no later than 31<sup>st</sup> October (or 31 December in the case of the headteacher)

Where however at any time the appraiser has concerns about aspects of the teacher's performance then a review meeting will be called in order that the concerns can be addressed **in consultation with the headteacher** (see section on Feedback below).

### **Observation**

This school believes that observation of classroom practice and other 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, in line with the Classroom observation protocol.

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 observation will be carried out by those with QTS.

For the operation of this policy a Classroom Observation Protocol has been agreed and adopted. This is included as Annex 2 to this policy.

In addition to the classroom observations arranged to support the review of performance under this policy, headteachers or other leaders with responsibility for teaching standards may "drop in" or undertake other planned or unplanned observations 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” or other observations will vary depending on specific circumstances (refer to Classroom Observation Protocol)

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

### **Development and Support**

Appraisal 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.

### **Feedback (including Support for Needed Improvement)**

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 acknowledge achievements and highlight particular areas of strength as well as any areas that need attention.

The appraiser and appraisee should feel that they are able to have an open and honest discussion with each other. In the event of concerns being raised it would be good practice for a teacher to contact their **Trade union or professional association representative** for appropriate advice.

Where, through the appraisal process or from other sources of information there are concerns about any aspects of the teacher’s performance, the appraiser will meet the teacher formally to:

- give the teacher 5 working days notice (or less as appropriate with agreement) of a meeting to discuss the concerns
- 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 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 for the appraiser to allow sufficient time for improvement. The amount of time is for the appraiser to determine but should reflect the seriousness of the concerns);
- explain the implications and process if no – or insufficient – improvement is made.

A written record of the discussion and an action plan should be drawn up and retained by the appraiser and the teacher. Under this policy the timescale over which the teacher’s



performance will be supported, monitored and reviewed will be no more than *10 weeks (or other period)*.

Where the appraiser is not the headteacher and there are concerns about the teacher's performance which the appraiser considers require the action described above, then prior to the meeting the appraiser will notify the headteacher who will consider the validity of the appraiser's judgement and offer guidance on the support to be provided and the timescale for improvement.

The headteacher may decide that they, rather than the appraiser, will hold a meeting with the teacher, as described above, and that they will then be responsible for monitoring and reviewing progress.

Where the meeting outlined above is conducted by the appraiser, who is not the headteacher, they will provide the headteacher with a copy of the written record of the discussion and planned actions.

When progress is reviewed, if the appraiser and/or headteacher are 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 the process.

During such a period of support, decisions related to pay progression will be suspended.

### **Addressing Concerns and Possible Use of the Capability Procedure**

It is hoped that supportive action under the appraisal process will enable a teacher to improve their performance to the level desired. If, however, the appraiser and/or headteacher is not satisfied with progress and serious concerns about the teacher's performance remain, the teacher will be notified of this in writing, and advised to contact **their Trade union or professional association**. The headteacher, whether or not the headteacher is the appraiser, will consider the records and will determine whether there is a need to consider the concerns at a formal meeting conducted under the school's adopted capability procedure. As an outcome of that meeting it will be decided by the headteacher whether the teacher's performance will be managed under the capability procedure (in which case the appraisal system will no longer apply).

Where concerns relate to the performance of the headteacher it will be for the governors responsible for the appraisal of the headteacher's performance to refer the matter for consideration by the Chair of Governors.



## 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 Body must consult the appointed external adviser.**

The assessment will be covered at a meeting arranged for the purpose in accordance with this policy (see Reviewing Performance above).

The assessment should be reflected in the completed written appraisal report. **The written appraisal report, which the teacher receives following the appraisal period will include:**

- **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 progression where that is relevant** (Such recommendations must reflect the assessment of performance in the appraisal report and will be properly rooted in evidence derived from the achievement of appraisal objectives) (NB – pay recommendations need to be made by 31 December for head teachers and by 31 October for other teachers);

Assessment is made on the Appraisal Plan (Annex 1) and will inform the planning process for the following appraisal period.

## Pay progression

Where teachers are eligible for pay progression, the recommendation made by the appraiser will be based on the assessment of their performance against the agreed objectives.

In accordance with the schools pay policy, pay progression will be recommended where objectives have been met. Appraisers must evidence during the appraisal cycle any significant concerns about standards of performance and progress towards objectives and communicate these to the appraisee as part of the appraisal process. If the appraiser's concerns are likely to effect pay progression these should be recorded in writing in appraisal documentation. Appropriate support should be identified and actioned by the school during the appraisal process to give the teacher every opportunity to address the concerns.

The Governing body has agreed the pay policy of the school and has considered the implications of the appraisal policy with respect to the arrangements relating to the teacher's pay . The Governing body will ensure that decisions on pay progression are made by December 31<sup>st</sup> for head teachers and October 31<sup>st</sup> for other teachers.



### **Quality Assurance and Consistency of Treatment and Fairness**

The governing body is committed to ensuring consistency of treatment and fairness in the operation of the appraisal process. In order to ensure this and to ensure that the policy contributes to the school's plans for improvement the following quality assurance arrangements are made:

The headteacher has delegated the appraiser role to the Deputy Head teacher both of whom will hold moderation sessions with remaining SLT members to ensure consistency of approach and expectation between different appraisers and will check appraisal reports as appropriate to ensure that they comply with this policy, the Appraisal Regulations and the requirements of equality legislation. S/he will also ensure that that this policy is being applied consistently between teachers who have similar experience and similar levels of responsibility.

Where it is considered that the appraiser has not carried out his/her responsibilities in compliance with this policy and the Regulations then he/she may take such action as deemed necessary to ensure that they are complied with.

For the appraisal of the headteacher, where the Chair of Governors has not been appointed to the Committee responsible, s/he will have an entitlement to check the appraisal report in order to ensure that the appraisal has been carried out in accordance with this policy and the Appraisal Regulations.

Where the Chair of Governors has been appointed to the Committee responsible for the headteacher's appraisal then there will be no quality assurance of the headteacher's written appraisal report.

### **Appeals**

It is hoped that the appraiser and teacher, or governor appraisers and headteacher, will reach agreement on the content of the written appraisal report. Whilst the appraiser can take a decision on content where agreement cannot be reached the teacher, or headteacher, will be afforded a right of appeal against entries with which they are not in agreement. They may be assisted in the Appeal by a companion who may be a **workplace colleague, a trade union representative or professional association representative.**

In exercising the right of appeal the headteacher or teacher may be assisted by a **workplace colleague, trade union representative or professional association representative.**

For a teacher the appeal will be to the headteacher where the appraiser is not the headteacher or, where the appraiser is the headteacher, to a committee of governors with delegated responsibility for hearing such appeals.



For the headteacher any appeal would be to a committee of governors with delegated responsibility.

### **General Principles underlying the Appraisal Policy**

#### **Confidentiality**

The appraisal process will be treated with confidentiality. However, the desire for confidentiality does not override the need for the head teacher and governing body to quality-assure the operation and effectiveness of the appraisal system. The appraisal record should be regarded as a confidential document between the appraiser and the teacher other than for the purpose of quality assurance as described under the paragraph 'Quality Assurance and Consistency of Treatment and Fairness'.

The headteacher will also be made aware of any pay recommendations that have been made in order that they are taken into consideration within the annual salary review exercise.

#### **Delegation**

Normal rules apply in respect of the delegation of functions by governing bodies, headteachers and local authorities and this is reflected by the policy.

#### **Monitoring and Evaluation**

The governing body and headteacher will monitor the operation and effectiveness of the school's appraisal arrangements. For this purpose the deputy headteacher will provide for the governing body a written annual report for consideration at its autumn term meeting

*The report should include:*

- *The operation of the appraisal policy*
- *The effectiveness of the schools appraisal procedures*
- *Teacher training and development needs*

The report will not contain any information which would enable any individual to be identified.

The Governing Body is committed to ensuring that the appraisal process is fair and non-discriminatory and the following monitoring data should be included in the head teacher's report because they represent the possible grounds for unlawful discrimination:

- Race
- Sex
- Sexual orientation
- Disability
- Religion and belief



- Age
- Part-time contracts
- Trade union/ professional association membership.

The head teacher will also report on whether there have been any appeals or representations on an individual or collective basis on the grounds of alleged discrimination under any of the categories above.

**Retention**

The governing body and headteacher will ensure that all written appraisal records are retained in a secure place for six years and then destroyed.





**Annex 1**

**CONFIDENTIAL**

**APPRAISAL REPORT (Part A)**

**Appraisal Period:**

**Appraisee's name:**

**Appraiser's name:**

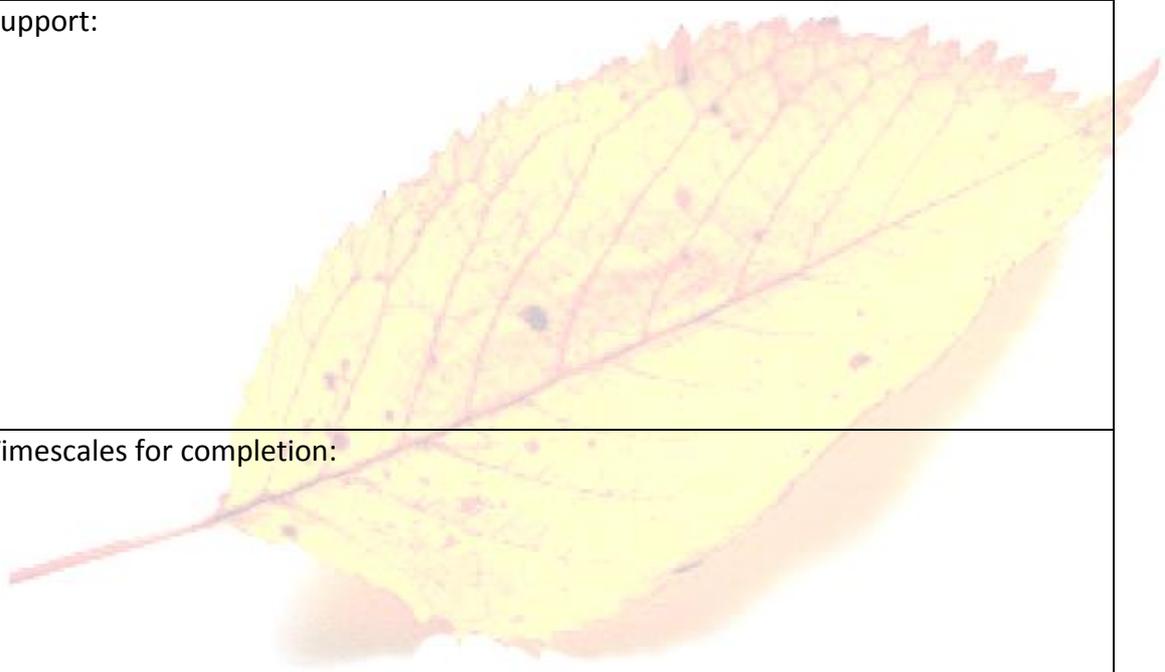
Relevant standards against which performance is to be assessed:
Objectives for the appraisal period (may include relevant whole school/team/faculty objectives):
Confirm arrangements for planned classroom observations including feedback arrangements:



Criteria for successful achievement of the objectives set and evidence to be considered:

Support:

Timescales for completion:



**Signed (Appraisee):**

**Signed (Appraiser):**

**Date:**



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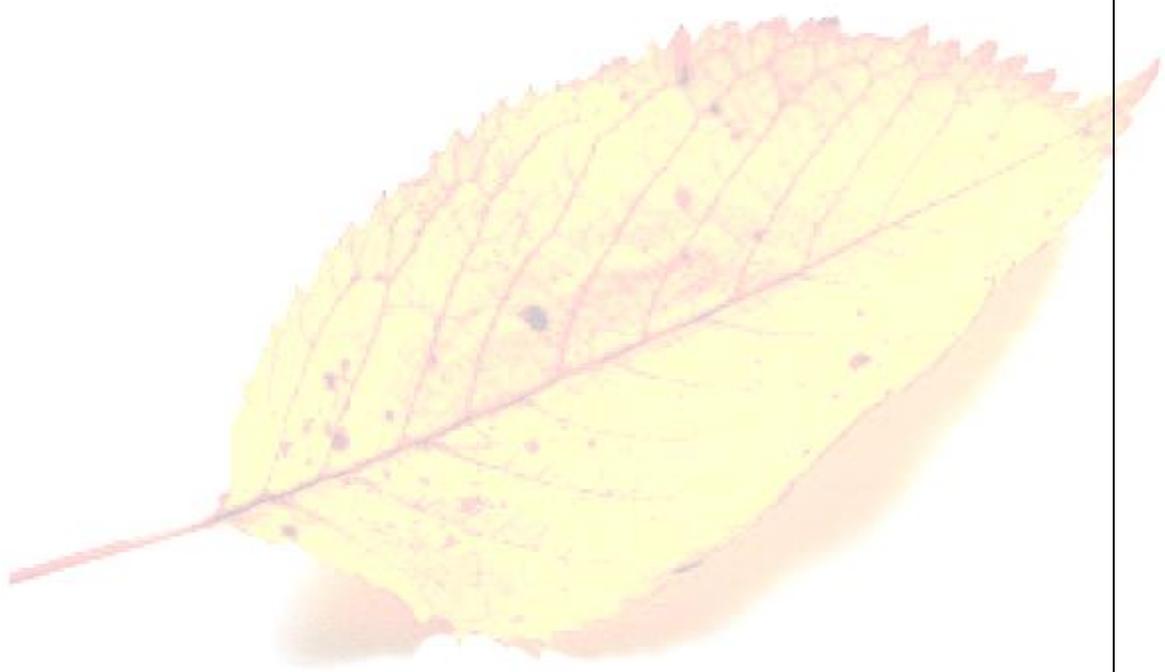
**APPRAISAL REPORT (Part B)**

**Appraisal Period:**

**Appraisee's name:**

**Appraiser's name:**

Assessment of the appraisee's performance against the relevant standards and objectives set (Confirm objectives Met, not met, partially met):

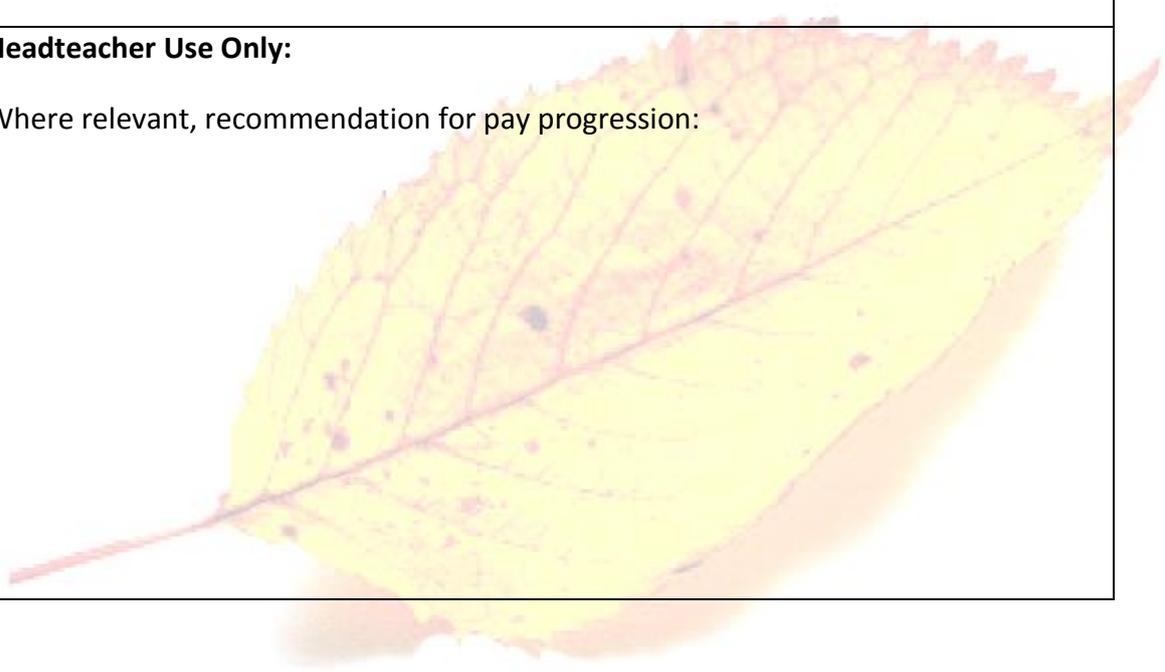




Identified training and development needs and action/support to address them:

**Headteacher Use Only:**

Where relevant, recommendation for pay progression:



**Signed (Appraisee):**

**Signed (Appraiser):**

**Date:**



## ANNEX 2

### CLASSROOM OBSERVATION PROTOCOL

#### Introduction

The Governing Body is committed to ensuring that classroom observation is developmental and supportive in accordance with school's appraisal policy. 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.

All teachers in this school will be regularly observed as part of assessing teachers' performance in order to identify any particular strengths and areas for development.

The amount and type of planned classroom observation should reflect and be proportionate to the needs of the teacher and the overall needs of the school. *It has been determined under the school's policy that the total period for classroom observation arranged for any teacher will not exceed (number?) hours per appraisal period having regard to the individual circumstances of the teacher. (or delete sentence if there is no wish to have an upper limit)*

#### Purpose of Classroom Observation

Classroom observations help inform the teachers appraisal system to ensure that all teachers have the skills and support they need to carry out their role effectively. Appraisal Information gathered during the observation will be also used, as appropriate, for a variety of purposes including to inform school self-evaluation and school improvement strategies in accordance with the school's commitment to streamlining data collection and minimising bureaucracy and workload burdens on staff.

In keeping with the commitment to supportive and developmental classroom observation teachers being observed will be notified in advance.



### Planned Classroom Observation

The arrangements for an individual teacher's classroom observation and feedback will be included in the annual written appraisal report, at the commencement of the appraisal period, and reviewed as necessary in the subsequent review meetings held during the period. The planned number, timescale and duration will be included in the detail but inclusion of the exact dates and times of the observations may not be practicable, and therefore not necessary.

### Review of Planned Classroom Observation

Where evidence emerges about the teacher's performance which gives rise to concern during the appraisal period, further classroom observations may be arranged in addition to those planned at the commencement of the appraisal period. The focus of any additional planned observations will relate to the areas for action identified and how improvement might be achieved. Any revised arrangements for classroom observations should be recorded.

### Persons Qualified to carry out Classroom Observation

**Classroom observations will only be undertaken by persons with QTS** as identified by the appraisal reviewer. Careful consideration will be given to the choice of person undertaking classroom observation so as to ensure as far as possible that it is a teacher with the appropriate skills to undertake observation and provide constructive oral and written feedback and support in the context of professional dialogue between colleagues (see Feedback below).

### Feedback

Oral feedback will be given by the person undertaking the observation 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.

Written feedback will be provided within five working days of the observation taking place. If issues emerged from an observation these should also be covered in the written feedback and the appropriate action taken in accordance with the appraisal policy.

The written record of feedback also includes the date on which the observation took place,



the lesson observed and the length of the observation. The teacher may wish to append written comments on the feedback document. No written notes in addition to the written feedback will be kept.

#### “Drop in” or Other Classroom Observations

In addition to planned classroom observations used for supporting the teacher’s performance for appraisal purposes, headteachers or other leaders with responsibility for teaching standards may also carry out “drop in” or other planned or unplanned observations. These may be as part of “self” and/or “departmental” reviews undertaken in order to evaluate the standards of teaching and learning and will be separate to performance management under the appraisal policy. They will also ensure that the expected standards of professional performance are established and maintained. The length and frequency of “drop in” or other observations will vary depending on circumstances. Evidence from “drop in” or other observations will not ordinarily be included within the appraisal records.