



SCHOOL NAME

APPRAISAL

MODEL POLICY & PROCEDURE

(For Teachers)

June 2017

Date Adopted by GB:	
Review Date of Policy:	
Signed:	

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1. INTRODUCTION

- 1.1 This policy is based on the national revised appraisal arrangements which came in to force on 1st 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).
- 1.2 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.
- 1.3 The governing bodies of maintained schools and local authorities must stay within the legal framework set out in the Appraisal Regulations and where they are an employer, comply with other relevant legislation that affects all employers (for example legislation on equality, employment protection and data protection).

2. SCOPE

- 2.1 The policy, which covers appraisal, applies to the head teacher and to all teachers employed by the school or local authority, except those:
 - a) Staff on contracts or less than one term
 - b) Newly Qualified Teachers (NQTs) who are covered by the Induction policy.
 - c) For the avoidance of doubt, this policy does not apply to agency workers.
- 2.2 There is a separate policy for the appraisal of school support staff.

3. THE APPRAISAL PERIOD

- 3.1 This Appraisal policy and procedure in this school will be a supportive and developmental process designed to ensure that all teachers have the skills and support they need to carry out their role effectively. It will help to ensure that teachers are able to continue to improve their professional practice and to develop as teachers.
- 3.2 The appraisal period will run for 12 months from September to August each year.
- 3.3 Where teachers/headteachers are employed on a fixed term contract of less than one year, they 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.

- 3.4 Where a teacher/headteacher starts their employment at the school part-way through a cycle, the head teacher or, in the case where the employee is the head teacher, the Governing Body shall determine the length of the first cycle for that teacher, with a view to bringing their cycle in line with the cycle for other teachers as soon as possible.

4. APPOINTING APPRAISERS

- 4.1 All appraisers of teachers, other than those appraising head teachers, will be teachers and will be suitably trained and experienced.
- 4.2 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.
- 4.3 The task of appraising the Headteacher, including the setting of objectives, will be delegated to a committee consisting of normally 3 members of the Governing Body. These governors should not be members of staff employed at the school.
- 4.4 Where a head teacher is of the opinion that any of the governors appointed by the Governing Body is unsuitable to act as their appraiser, they may submit a written request for that governor to be replaced, stating the reasons for the request
- 4.5 The head teacher will decide who will appraise other teachers. 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. All appraisers appointed by the head teacher will be qualified teachers and will be suitably trained and experienced.

5.0 SETTING OBJECTIVES

- 5.1 The head teacher's objectives will be set by a committee of the Governing Body after consultation with the external adviser, in line with current Dfe regulations/guidance, and the Headteacher. The provisions of 5.4 and 5.5 below should also be applied.
- 5.2 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 and will be appropriate to the teacher's role and level of experience.
- 5.3 The appraiser and teacher will seek to agree the objectives but, if that is not possible, the Headteacher will determine the objectives. Objectives may be revised if circumstances change.
- 5.4 The agreed objectives will contain a description of what success may look like. The use of numerical targets outside of the teachers control are not

appropriate. In the circumstances in which the teacher works it will be recognised that factors outside of a teachers control may significantly affect success.

- 5.5 Normally teachers will be given three objectives.
- 5.6 These objectives could include:
 - a) Whole school objective
 - b) Individual Professional development
 - c) Department aims and objective
- 5.7 The appraiser will take into account the effects of an individual's circumstances, including any disability, when agreeing objectives. For example, this might include a reasonable adjustment to allow an individual slightly longer to complete a task than might otherwise be the case. When a teacher returns from a period of extended absence, objectives may be adjusted to allow them to readjust to their working environment.
- 5.8 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.
- 5.9 All teachers should be assessed against the set of standards contained in the document called "Teachers' Standards" published in July 2011. The head teacher 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.
- 5.10 The appraiser will assess the Teacher against the Teachers' Standards, the starting point will be that the teachers is meeting the standards. However if it becomes apparent at any time the teacher should be alerted immediately and the given the appropriate support and sufficient time to improve.

6.0 PAY PROGRESSION

- 6.1 Where teachers who achieve their objectives and are eligible for pay progression, a recommendation should go to the pay committee for this to be awarded. The decision made by the pay committee will be based on the statutory criteria and guidance set out in the School Teachers' Pay and Conditions Document (STPCD) and the relevant teacher standards.
- 6.2 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 teachers' pay in accordance with the STPCD. The

Governing Body will ensure that decisions on pay progression are made by 31 December for head teachers and by 31 October for other teachers.

7.0 OBSERVATION

- 7.1 The effective and efficient operation of the appraisal process requires lesson observation to be a confidential process of constructive engagement within an atmosphere of support and co-operation.
- 7.2 Accordingly, observations will be carried out in a supportive fashion, with professionalism, integrity and courtesy, will be evaluated objectively and reported accurately and fairly and will take account of particular circumstances which may affect performance on the day.
- 7.3 At least 5 working days' notice of the date and time of the observation will be given and verbal feedback provided by the end of the next school day and written feedback within 5 working days.
- 7.4 Classroom observation will be carried out by qualified and suitable trained teachers.
- 7.5 For the purposes of appraisal, teachers' performance will be observed on no more than 3 occasions of up to 1 hour. Unless in which in exceptional circumstances where concerns have been raised about a teacher's performance, or where the teacher requests additional observation visits.
- 7.6 For the purpose of professional development, feedback about lesson observations should be supportive, using Ofsted grades is no longer appropriate.
- 7.7 Teachers (including the Headteacher) whose posts have responsibilities outside the classroom should also expect to have their performance of those responsibilities observed and assessed.

8.0 DEVELOPMENT AND SUPPORT

- 8.1 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.
- 8.2 The school's CPD programme will be informed by the training and development needs identified as part of the appraisal process. The Governing Body will ensure, in the budget planning, that, as far as possible, resources are made available in the school budget for appropriate training.

9.0 ANNUAL ASSESSMENT

- 9.1 Each teacher's performance will be formally assessed in respect of each appraisal period. In assessing the performance of the head teacher, the Governing Body must consult an external adviser in line with current DfE regulations/guidance.
- 9.2 This assessment is the end point to the annual appraisal process, but performance and development priorities will be reviewed and addressed on a regular basis throughout the year in interim meetings, for example once a term. This does not preclude the expectation that concerns will be addressed immediately.
- 9.3 The teacher will receive as soon as practicable following the end of each appraisal period – and have the opportunity to comment in writing on - a written appraisal reports by 31st October (31st December for the Headteacher).
- 9.4 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 (in line with section 6.2)
 - (Schools to say here what else, if anything, their appraisal reports will include).
- 9.5 Should a teacher disagree with any of the comments detailed within the report they have the right to have their views recorded and considered against the appropriate entries on the written appraisal report.
- 9.6 The assessment of performance and of training and development needs will inform the planning process for the following appraisal period.

10.0 TEACHERS EXPERIENCING DIFFICULTIES

- 10.1 When dealing with a teacher experiencing difficulties, the objective is to provide support and guidance through the appraisal process in such a way that the teacher's performance improves and the problem is, therefore resolved.
- 10.2 Where it is apparent that a teacher's personal circumstances are leading to difficulties at school, support will be offered as soon as possible, without waiting for the formal annual assessment.

- 10.3 Where concerns are raised during the appraisal the Headteacher/Senior member of the Leadership Team will convene a meeting with the employee. An employee would not normally be accompanied at this meeting. At the meeting the Headteacher/Senior member of the Leadership Team will:
- a) Outline the specific performance shortcomings,
 - b) Explore the reasons for underperformance (is it work or non-work related?),
 - c) Explain the standards expected,
 - d) Agree the performance standards required (Performance Improvement Plan) and the timeframe (the 'Informal Review Period') in writing,
 - e) Decide on the support that is required and to ensure that it is targeted/appropriate to the individual's needs.
 - f) Ensure SMART targets are set.
- 10.4 The employee must be supported for a period of time which is reasonable considering the role and the nature of the shortcoming(s). Where possible an agreement will be sought for the length of period required for each individual case. This would normally be between 6 and 8 weeks, however where there are serious capability concerns the Headteacher will have the discretion to use shorter timescales.
- 10.5 There will be interim review meetings to assess progress against the employee's Performance Improvement Plan. These will take place at regular intervals during the Informal Review Period.
- 10.6 A date must also be set for a meeting to review progress at the end of the Support Period. Depending on progress, this meeting will serve one of two purposes:
- a) Where the employee's performance improves to the standard required the employee should be informed of this and also reminded of the need to maintain the improved standard.
 - b) If the employee's performance does not reach the standard required, this meeting will inform the employee that the process is moving to the Formal Process under the school's capability procedure. A letter should be issued to the employee inviting them to a Formal Capability meeting to take place 5 working days after the date of the review meeting. They will be advised to bring a union representative.
- 10.7 It is important that the employee is made aware of the consequences of the failure to improve and if performance remains unsatisfactory at the end of the Support Period then the Formal Process will be commenced, which could result in the issue of a First Written Warning.
- 10.8 The outcome of the Support Period, including the various review dates will be confirmed in writing within 5 working days. A copy of this letter should be held on the employee's personnel file.

11.0 CONFIDENTIALITY

- 11.1 All parties involved in the implementation of this policy will be expected to observe the principle of confidentiality in relation to the content of appraisals and any documentation that is created during the appraisal process.
- 11.2 Any documentation arising from, or the content of any discussions during the appraisal meetings may be shared by the headteacher/appraiser with individuals involved in monitoring performance, or those involved in any capability proceedings that may follow and for quality assurance/moderation purposes. The appraisee will be informed if documentation relating to their appraisal is shared.
- 11.3 Documentation arising from, or the content of any discussions during the appraisal meetings, will be stored securely. To prevent unauthorised access, maintain data accuracy and ensure confidentiality, the school will have in place, appropriate electronic and managerial procedures, to ensure the information held is protected.
- 11.4 Appraisal information will be retained for a maximum period of six years.