

---------------------------------------------------------------------------------------------------------------------

**Teacher Appraisal Policy**

---------------------------------------------------------------------------------------------------------------------

|  |  |
| --- | --- |
| Function | For information |
| Status | Recommended |
| Audience | Governors, Headteachers, Teachers, Local Authorities |
| Issued | October 2012 |
| Review | February 2015 |

**CONTENTS**

**1 Introduction**

**2. Model Policy**

Purpose

Application of the policy

**3. Appraisal**

Appraisal Period

Appointment of Appraisers

Setting Objectives

Reviewing performance

Pay Progression

Reviewing Performance

Development and Support

**4. Annual Assessment**

**5. Teachers Experiencing Difficulties**

Appeals

**6. General Principles Underlying this Policy**

Acas Code of Practice

Consistency of Treatment and Fairness

Sickness

Grievance

Confidentiality and Professional Relationships

Monitoring Evaluation

Retention

**Appendix A** **Classroom Observation Protocol**

**GENERAL PRINCIPLES UNDERLYING THIS POLICY**

**ACAS Code Of Practice on Disciplinary and Grievance Procedures**

The conduct of the formal capability stage will be undertaken in accordance with the provisions of the ACAS Code of Practice.

**Consistency of Treatment and Fairness**

The Governing Body is committed to ensuring consistency of treatment and fairness and will abide by all relevant equality legislation.

**Sickness**

If long term sickness absence appears to have been triggered by the commencement of monitoring or a formal capability procedure, the case will be dealt with in accordance with the school’s absence policy and will normally be referred to the occupational health service to assess the member of staff’s health and fitness for continued employment and the appropriateness or otherwise of continuing with monitoring or formal procedures*.* In some cases it may be appropriate for formal procedures to continue during a period of sickness absence. However, the views of the occupational health physician will always be taken into account before a decision is reached.

**Grievances**

Where a member of staff raises a grievance during the appraisal or capability process, the appraisal or capability process may be temporarily suspended in order to deal with the grievance. Where the grievance and appraisal or capability cases are related it may be appropriate to deal with both issues concurrently.

**Confidentiality & Professional Relationships**

The appraisal and capability processes will be treated with confidentiality. Only the appraiser’s line manager or, where s/he had more than one, each of her/his line managers will be provided with access to the appraisee’s plan recorded in her/his statements. This will be done upon request and only where this is necessary to enable the line manager to discharge her/his line management responsibilities. Appraisees will be consulted on requests for access to statements in the context of this policy.

The process of gathering evidence for performance review will not compromise normal professional relationships between teachers. The governing body recognises that the reviewer will consult with, and seek to secure the agreement of, the reviewee before seeking information from other colleagues about the work of the reviewee.

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 head teacher or appropriate colleague might, for example, review all teachers’ objectives and written appraisal records personally – to check consistency of approach and expectation between different appraisers. The head teacher might also wish to be aware of any pay recommendations that have been made.

**Monitoring and Evaluation**

The governing body and head teacher will monitor the operation and effectiveness of the school’s appraisal arrangements.

The head teacher will provide the governing body with a written report on the operation of the school’s/academy’s appraisal and capability policies annually. The report will not identify any individual by name. The report will include an assessment of the impact of these policies on:

Race

Sex

Sexual Orientation

Disability

Religion and Beliefs

Age

Part-time Status

Maternity and Pregnancy

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

**Retention**

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

**1 INTRODUCTION**

1.1 Revised appraisal arrangements came into force 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). Reference should also be made to the School Teachers Pay and Condition Document when referring to this policy.

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. 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.

1.3 Maintained 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).

1.4 Schools and local authorities must have an appraisal policy for teachers and a policy, covering all staff, which deals with capability issues. This model policy for appraisal applies only to teachers, including head teachers. It has been written in the context of schools, but the same principles apply to unattached teachers. It is good practice for schools to consult staff on their appraisal and capability policies. The DfE have provided an optional resource of a model policy, which has been used to inform these guidelines.

1.5 This model policy should be read in conjunction with the Managing Employee Performance (Capability) Policy. With effect from 1 September 2012, this policy supersedes the previous performance management model policy and guidance, which had been designed to support the 2006 Regulations.

**2. MODEL POLICY**

The Governing Body of \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ School/Academy adopted the Teacher Appraisal Policy on \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_. *(insert date)*

It will be reviewed in \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ *(insert date or number of years)*

**2.1 PURPOSE**

2.2 This procedure sets out how the School/Academy will improve outcomes for children/students, and raise the morale of teachers, by motivating them to up-date their skills and improve their performance.

The appraisal procedure will be used also to address any concerns that are raised about a teacher’s performance. If concerns are such that they cannot be resolved through the appraisal process, there will be consideration of whether to commence the Managing Employee Performance (Capability) procedure

**2.3 APPLICATION OF THE POLICY**

2.4 The Teacher Appraisal Policy applies to the head teacher and to all qualified teachers employed by the school or local authority, except those on contracts of less than one term, those undergoing induction *(ie NQTs)* and those whose performance is subject to the Managing Employee Performance (Capability) Policy.

2.5 This policy should be read in conjunction with the school’s pay policy which provides details of the arrangements relating to teachers’ pay in accordance with the School Teachers’ Pay and Conditions Document.

**3. APPRAISAL**

3.1 Appraisal is 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** **APPRAISAL PERIOD**

The appraisal period will run for twelve monthsfrom \_\_\_\_\_\_ to *\_\_\_\_\_\_\_\_*

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.

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

3.4 Where a teacher transfers to a new post within the school/academy part-way through a cycle, the headteacher or, in the case where the employee is the headteacher, the governing body, shall determine whether the cycle shall begin again and whether to change the appraiser.

**3.5** **APPOINTING APPRAISERS**

All appraisers of teachers, other than those appraising headteachers, will be teachers with line management responsibility and will be suitably trained.

3.6 **Head Teacher**

The head teacher will be appraised by the Governing Body, supported by a suitably skilled and/or experienced external adviser, e.g. Local Authority Adviser, School Improvement Consultant, who has been appointed by the Governing Body for that purpose.

The task of appraising the head teacher, including the setting of objectives, will be delegated to a sub-group consisting of normally 3 members of the Governing Body.

Where a head teacher is of the opinion that any of the governors appointed by the governing body is unsuitable to act as his/her appraiser, s/he may submit a written request for that governor to be replaced, stating the reasons for the request.

3.7 **Teachers**

The choice of appraiser is for the head teacher. 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 have current or recent teaching experience.

If the head teacher appoints an appraiser who is not the teacher’s line manager, the appraiser to whom s/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. (General Principles)

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 section on Teachers Experiencing Difficulties (para 5)

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

**3.8 SETTING OBJECTIVES**

The head teacher’s objectives will be set by the appraisal sub-group of the Governing Body after consultation with the external adviser and the head teacher.

3.9 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. In setting the objectives, reviewers will have regard to what can reasonably be expected in the context of roles, responsibilities and experience, consistent with the school’s strategy for achieving a work/life balance for all staff. The headteacher will moderate the appraisal reports/a sample of reports (delete as appropriate) to ensure that they are compliant with this policy. Appraisees may at any point append their comments alongside their objectives.

3.10 The appraiser and appraisee will seek to agree the objectives. Objectives may be revised if circumstances change. The school operates a system of moderation to ensure that all appraisers are working to the same standards. Objectives will be moderated across the school to ensure that they are consistent between teachers with similar experience and levels of responsibility. Should the objectives not be agreed, the final decision on allocation of objectives rests with the head teacher.

3.11 The agreed objectives will contain a description of what success may look like. Where use of numerical targets is appropriate, these will be reasonable, in the circumstances in which the teacher works and it will be recognised that factors outside teachers’ control may significantly affect success.

3.12 Setting more than three objectives, or, for example, using sub-targets, can lead to teachers experiencing unreasonable workload and pressure, making the objectives more difficult to achieve.

3.13 The objectives set for each teacher are intended to contribute to the school’s plans for improving the school’s educational provision and performance and improving the education of pupils at that school and will take into account the professional aspirations of the teacher.

3.14 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 staff return from a period of extended absence, objectives may be adjusted to allow them to readjust to their working environment.

3.15 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. Teachers will be assessed against the appropriate set of standards contained in the document “Teachers’ Standards” published in July 2011. The head teacher or governing body (as appropriate) will need to consider whether certain teachers should be assessed against other sets of standards published by the Secretary of State or other body that are relevant to them. For QTLS holders, that may include the overarching professional standards for teachers in the lifelong learning sector, held by the Learning and Skills Improvement Service.

**3.16 PAY PROGRESSION**

3.17 Where teachers or headteachers are eligible for pay progression, the recommendation made by the appraiser will be based on the assessment of their performance against the agreed objectives, set in accordance with the guidance in paragraphs 3.8 to 3.15 , and overall performance. The decision made by the relevant decision-making body will be based on the statutory criteria and guidance set out in the STPCD and the relevant teacher standards.

3.18 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 School Teachers’ Pay and Conditions Document. The Governing Body will ensure that decisions on pay progression are made by the appropriate dates for head teachers and teachers as set out in the schools pay policy.

**3.19 REVIEWING PERFORMANCE**

3.20 **Observation**

3.21 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.

3.22 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.

3.23 At least 5 working days’ notice of the date and time of the observation will be given and verbal feedback provided at least by the end of the next school day and written feedback within 5 working days, unless circumstances make this impossible.

3.24 Classroom observation will be carried out by qualified teachers.

3.25 For the purposes of appraisal, teachers’ performance will be observed on an appropriate and reasonable number of occasions and will, as far as possible, be agreed by the appraiser with the appraisee based on the individual circumstances of the teacher and the overall needs of the school. The number and duration of appraisal observations will be in accordance with the school/academy’s observation protocol, which includes provision for exceptional circumstances where concerns have been raised about a teacher’s performance, or where the teacher requests additional observation visits.

3.26 Head teachers or other leaders with responsibility for learning and teaching standards may “drop in” or undertake other observations to evaluate the standards of teaching and learning and to ensure that high standards of professional performance are established and maintained. The length and frequency of “drop in” or other observations, and the notice to be given, will vary depending on specific circumstances but will be in accordance with the school’s classroom observation and drop-in policy (see Appendix A).

3.27 For the purpose of professional development, feedback about lesson observations should be developmental. There is no requirement to grade lesson observations.

3.28 This school will use the findings of each observation, including appraisal observations, for other management requirements (for example subject area reviews), thereby seeking to minimise the total number of occasions on which teachers are observed.

3.29 Teachers (including the head teacher) whose posts have responsibilities outside the classroom should also expect to have their performance of those responsibilities observed and assessed.

**3.30 DEVELOPMENT AND SUPPORT**

3.31 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, for example, through voluntary peer observation. Professional development will be linked to school improvement priorities and to the on-going professional development needs and priorities of individual teachers.

3.32 The school’s/academy’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 and support agreed for appraisees, maintaining access on an equitable basis.

3.33 An account of the training and development needs of teachers including the instances where it did not prove possible to provide any agreed CPD, will form a part of the head teacher’s annual report to the governing body about the operation of the appraisal process in the school.

3.34 With regard to the provision of CPD in the case of competing demands on the school budget, a decision on relative priority will be taken with regard to the extent to which:

1. the training and support will help the school/academy to achieve its priorities; and
2. the CPD identified is essential for an appraisee to meet their objectives.

3.35 Where it has not been possible for teachers to fully meet their performance criteria because the support recorded in the planning statement has not been provided, this will be taken into account in a review meeting.

**4 ANNUAL ASSESSMENT**

4.1 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 the external adviser.

4.2 In line with the Schools Pay Policy, the teacher will receive as soon as practicable following the end of each appraisal period – and have the opportunity to comment on - a written appraisal report. 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 against 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 teacher’s own comments
* [INSERT] (schools/academies to say what else, if anything, their appraisal reports will include).

4.3 There is no requirement to use the teachers standards as a tick list in the appraisal process, however they must be used as a backdrop when assessing teachers performance.

4.4 A review meeting will take place to discuss the content of the report and any further action required and to inform objective setting for the next cycle. In most circumstances an interim review meeting(s) for teachers and headteachers will be appropriate. It is good practice to record the details of these review meetings and provide a copy for the appraisee.

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

**5 TEACHERS EXPERIENCING DIFFICULTIES – Informal Support**

5.1 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. Teachers should be encouraged to seek advice and support from appropriate sources e.g. Employee support services, trade union officials

5.2 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.

5.3 If an appraiser identifies through the appraisal process, or via a range of other sources of information (in accordance with the schools pay policy), that the difficulties experienced by a teacher are such that, if not rectified, could lead to capability procedures the appraiser, the head teacher, or a member of the leadership team, will, as part of the appraisal process meet the teacher to:

* give clear written feedback to the teacher about the nature and seriousness of the concerns;
* give the teacher the opportunity to comment on and discuss the concerns;
* give the teacher at least 5 working days’ notice that a meeting will be held to discuss targets for improvement alongside a programme of support, and inform the teacher that he/she has the right to be assisted by a representative of an independent trade union or work place colleague, and at any future meetings where capability will be discussed;
* in consultation with the teacher at the above meeting, an action plan with support will be established (for example coaching, training, in-class support, mentoring, structured observations, visits to other classes or schools or discussions with advisory teachers), that will help address those specific concerns;
* make clear how progress will be monitored and when it will be reviewed;
* explain the implications and process if no – or insufficient – improvement is made.

5.4 Any information that comes to light that is a cause of concern, which is identified during the appraisal period, should be addressed at the time the concern arises. The appraisal review should not be the first time the individual is made aware of any such concerns/issues which may have emerged through their appraisal objectives or a range of other sources.

5.5 The teacher’s progress will continue to be monitored as part of the appraisal process and a reasonable period of time given for the teacher’s performance to improve. This will depend upon the circumstances, but will be for a period of no less than 4 weeks (a 4 week period should only be set in exceptional circumstances), with appropriate support as agreed in the Action Plan, in order that the aim of recovering and improving performance can be achieved. During this monitoring period the teacher will be given regular feedback on progress and arrangements will be made to modify the support programme if appropriate.

5.6 If sufficient progress is made such that the teacher is performing at a level that indicates there is no longer a possibility of capability procedures being invoked the teacher should be informed of this at a formal meeting with the appraiser or head teacher. Following this meeting the appraisal process will continue as normal.

5.7 If no, or insufficient, improvement has been made over this period, the teacher will be invited to a formal meeting under the Managing Employee Performance (Capability) Procedure, (see Section 6 of that procedure – Formal Capability Meeting – Stage 1).

5.8 **Appeals**

5.9 Where the head teacher has not been recommended for pay progression s/he will be informed by the appropriate governor. The head teacher will notify any teacher who has not been recommended for pay progression of the date when the governing body meets to consider pay recommendations, following which the teacher (and head teacher when the head has not been recommend for pay progression) may exercise the right of appeal, assisted by a companion who may be a colleague, a trade union official or a trade union representative. Any appeal against decisions relating to pay progression will be conducted in line with the Whole School Pay Policy.

**6. Monitoring and Evaluation**

The governing body and head teacher will monitor the operation and effectiveness of the school’s appraisal arrangements.

The head teacher will provide the governing body with a written report on the operation of the school’s/academy’s appraisal and capability policies annually. The report will not identify any individual by name.

**7 Retention**

The governing body and head teacher will ensure that all written appraisal records are retained in a secure place in accordance with appropriate regulations, currently 6 years.

**Appendix A – Classroom Observation Protocol relating to Teacher Appraisal**

The Governing Body 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.

The total period for classroom observation arranged for any teachers will have regard to the individual circumstances of the teacher and will be proportionate to the needs of the individual. For the purposes of appraisal, teachers’ performance will be observed on an appropriate and reasonable number of occasions and will, as far as possible, be agreed by the appraiser and the appraisee, based on the individual circumstances of the teacher and the overall needs of the school.

Information gathered during the observation may be used, as appropriate, for a variety of purposes, including to inform school self-evaluation and school improvement strategies. In keeping with the commitment to supportive and developmental classroom observation, those being observed will be notified in advance.

Classroom observations will only be undertaken by those with QTS. In addition, in this school, classroom observation 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, in the context of professional dialogue.

Oral feedback will be given as soon as possible after the end of the observation and no later than the end of the following day. It will be given at an agreed time, in a suitable, private environment.

Written feedback will be provided within five working days of the observation taking place. The written feedback will 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 to this feedback document. No written notes in addition to the written feedback will be kept.

A headteacher has the duty to evaluate the standards of teaching and learning and to ensure that proper standards of professional performance are established and maintained. Heads have a right to drop in to inform their monitoring of the quality of teaching and learning. Drop-in sessions should be for a short period of time (usually no longer than 20 minutes) and will not generally be used for the purposes of performance management but should inform the overall performance of a teacher.