



Model Appraisal Policy & Procedure for Teachers and Support Staff in Schools

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1. Introduction

1.1 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 starting on or after that date.

1.2 The Appraisal Regulations set out the principles that apply to teachers and all maintained schools and unattached teachers employed by a local authority, in each case where they are employed for one term or more. If they wish, schools may include in their own policies details that are no longer covered by the Appraisal Regulations. It is recommended these are consulted upon with recognised Trade Unions.

1.3 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.

1.5 This Model Policy has been designed for use with all employees of the school including the headteacher, teachers, non teaching and support staff; it is also for use with unattached teachers employed by CMBC

1.6 This procedure/policy does not form part of any employee's contract of employment and it may be amended by the Governing Body (or local authority in the case of unattached teachers) at any time following consultation with recognised Trade unions.

NB: For information, text in bold indicates statutory requirements contained in the Appraisal Regulations or the School Staffing Regulations.

2. Model policy for appraising employee performance

The Governing Body of Stubbings Infant School adopted this policy in January 2015.

It has been the subject of consultation with recognised Trade Unions.

The policy will be reviewed in January 2018.

3. Purpose

3.1 This policy sets out the framework for a clear and consistent assessment of the overall performance of teachers, including the headteacher, non teaching and support staff in the school. The appraisal procedure may also be used to address and manage informally relevant areas for improvement raised about an employee's performance.

3.2 The policy is also the framework for supporting staff development within the context of the school's plan for improving educational provision and performance, and the standards expected of teachers. Through the appraisal process the school seeks to improve outcomes for children/students by improving morale, encourage staff to update skills and encouraging professional dialogue.

4. Application of the policy

4.1 This policy applies to the headteacher and to all teachers employed by the school or local authority, except those on contracts of less than one term, those undergoing induction (*i.e.* NQTs) and those who are subject to the Formal [Capability Procedure](#).

4.2 The policy will also be used with non teaching and support staff so that a consistent approach in the management of staff is effective across the whole school. The headteacher will consider whether it is appropriate to use the appraisal policy for other temporary staff or those subject to probationary period arrangements.

5. Appraisal

Appraisal will be a supportive and developmental process designed to ensure that all staff have the skills and support they need to carry out their role effectively. It will help to ensure that teachers and other staff are able to continue to improve their professional practice and to develop.

5.1 The appraisal period

5.1.1 The appraisal period will run for twelve months from October to October

5.1.2 Teachers and others 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.**

5.1.3 The School/Local Authority will determine whether to have a longer or shorter appraisal period when employment begins or ends during the normal appraisal period and will bring the cycle in line with others as soon as possible.

5.2 Appointing appraisers

5.2.1 The headteacher will be appraised (including objective setting) by a sub group (usually 3) of the Governing Body, supported by a suitably skilled and/or experienced external adviser who has been appointed by the Governing Body for that purpose.

5.2.2 The headteacher will decide who will appraise other teachers and support staff. Appraisers will be suitably skilled, trained and qualified to undertake the role (including qualified teacher to undertake teacher appraisals). Appraisers will normally have line management responsibility for the appraisee and will be responsible for managing all aspects of the appraisal. Where a teacher is of the opinion that their appraiser is unsuitable for professional reasons, they may submit a written request to the headteacher (or the chair of governors in the case of the headteacher) for an alternative appraiser, stating the reasons for the request. The request will be considered but ultimately it is for the headteacher (or Chair of Governors in the case of the headteacher) to make the decision.

5.3 Setting objectives

5.3.1 The headteacher's objectives will be set by the Governing Body sub group after consultation with the external adviser. Objectives for each teacher/employee will be set before or as soon as practicable after, the start of each appraisal period. 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 teaching objectives against the school improvement plan.

5.3.2 The objectives set for every employee will, if achieved, contribute to the schools' plans for improving the schools' education provision, performance and improving the education of pupils at the school.

5.3.3 When setting objectives the following principles will be used:

- i. Objectives which are Specific, Measurable, Achievable, Realistic and Time-bound (SMART).
- ii. Objectives which are relevant, realistic and reasonable for the role, responsibility and experience of the post holder and in the context of the schools' wider HR policies.
- iii. The number and type of objectives will be relevant to leadership/management resource of the whole school development plan, pupil progress objectives and contribute to professional development.

- iv. The number to be set is not fully prescriptive but a maximum of 3 is likely.
- v. Objectives should be agreed between the appraiser and appraisee but, where this is not possible, determined by the appraiser. (The appraisee may add comments to the plan).
- vi. Objectives may be revised if circumstances change – taking account for example of reasonable adjustments under the Equalities Act.
- vii. Objectives will be quality assured and moderated by the headteacher or nominated performance management lead.

5.3.4 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.

The relevant standards for teachers are the set of standards contained in ["The Teachers' Standards"](#). The headteacher or governing body (as appropriate) will consider whether certain teachers should also be assessed against other relevant sets of standards published by the Secretary of State. The headteacher or governing body (as appropriate) will consider whether certain teachers should also be assessed against other relevant sets of standards published by the Secretary of State.

5.4 Reviewing performance

5.4.1 Observation: Teachers

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.

Observation arrangements will be based on the following principles:

- i. The numbers and types of observations will appropriate to the individual circumstances of the teacher and needs of the school.
- ii. Classroom observation for teachers will be carried out by those with QTS, in a supportive fashion, with professional integrity, courtesy and taking account of any potential circumstances on the day.
- iii. For formal planned observation, 5 working days' notice will be given of time and date.
- iv. Observations may include 'drop-ins' by the appraiser. Drop ins by others e.g. headteacher will not form part of the formal appraisal evidence but any issues noted may be shared with the appraiser for follow up.
- v. Verbal feedback should be given very shortly after observation with written feedback of the formal observation within 5 working days.
- vi. Formal responsibilities of the post holder outside of the classroom will also be assessed as part of the appraisal process.
- vii. Overall the number of observations of a teacher will be appropriate and reasonable taking account of the wellbeing and other circumstances of the teacher and the overall needs and resources of the school.
- viii. These principles may be supplemented by a specific school observation protocol.

5.4.2 Observation: Other Staff and Unattached Teachers

Appropriate mechanisms will be used to review performance for non-teaching staff and unattached teachers employed by the local authority. The overall approach will include the principles set out above but will need to be relevant to the role. Performance review may include:

- i. Review of produced work
- ii. Classroom observations of classroom support staff
- iii. Observation in meetings or service delivery
- iv. Peer Review
- v. Discussion and other feedback

5.4.3 Reviewing other supporting information

Other information useful for reviewing performance may include:

- i. Lesson plans
- ii. Work sampling
- iii. Pupil progress information
- iv. Pupil progress meetings
- v. Pupil/parental discussion and feedback
- vi. Pupil discipline
- vii. Peer review

5.4.4 Development and support

Appraisal is a supportive process which will also be used to inform continuing professional and general development. It is important to encourage a culture in which all employees take responsibility for improving their performance and appropriate professional development. Professional development will be linked to school improvement priorities and to the ongoing professional development needs and priorities of individual teachers and other members of staff.

In planning and providing resources for staff development the Governing Body will take account of:

- i. The training and support required to meet school priorities
- ii. The support agreed as essential for an appraisee to meet their objectives
- iii. Fair and equal access to development

5.4.5 Feedback

Employees will receive constructive feedback on their performance throughout the year and as soon as practicable after observation has taken place or other evidence has been assimilated. Feedback will highlight particular areas of strength as well as any areas that need attention.

However, where there are concerns about any aspects of the employee's performance (as opposed to points for development) the appraiser will meet him/her to:

- Give clear feedback about the nature and seriousness of the concerns;
- Give the employee the opportunity to comment and discuss the concerns;
- Confirm the requirements to be met (including any revision to objectives)
- Agree any support (e.g. coaching, mentoring, training, structured observations), that will be

provided to help address those specific concerns;

- Make clear how, and by when, the appraiser will review progress, allowing an appropriate period of time to address the issues raised;
- Explain the implications and process if no – or insufficient – improvement is made.
- The appraiser should share a written note of the meeting with the appraisee and also include appraisee's comments and concerns.

When progress is reviewed, if the appraiser is satisfied that the employee has made, or is making, sufficient progress, the appraisal process will continue as normal, with any remaining issues continuing to be addressed through that process.

5.4.6 Where concerns continue

If despite support and opportunities to improve, the appraiser continues to have serious concerns that inadequate improvement/progress has been made, the appraiser will consider in consultation with the headteacher as appropriate, whether the Capability procedure should be used. Should this be the case the employee will be invited in writing to a meeting under the school's [Capability Policy](#).

Where appropriate improvement is achieved under this separate policy and any capability process ceases, the employee's performance and development will be managed again in accordance with the Appraisal policy.

6. Annual assessment

6.1 Each teacher's performance will be formally assessed in respect of each appraisal period. This approach applies similarly to non-teaching/support staff. **In assessing the performance of the headteacher, the Governing Body must consult the external adviser.**

6.2 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 which will take place at specified intervals

6.3 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 report. The appraisal report will include:

- details of the employee's objectives for the appraisal period in question;
- **an assessment of the employee's performance of their role and responsibilities against their objectives and the relevant standards;**
- **an assessment of the employee's training and development needs and identification of any action that should be taken to address them;**
- other items specified by the school;
- a space for the appraisee's own comments.

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

7. Pay Progression

7.1 The headteacher will make recommendations re pay progression to the Governing Body in line with the school's [Pay Policy](#) and based on the statutory criteria and guidance set out in the [STPCD](#) and the relevant teacher standards.

NB Dates for Pay Progression decisions are 31st October for teachers and 31st December for headteachers.

8. Appeal

- The appraisee may appeal against the Appraisal Report by appealing to the headteacher or the governing body (where headteacher has been the appraiser) within 10 working days, setting out the reasons for appeal and requesting a meeting to discuss their concerns. They may be accompanied by a trade union representative/official or colleague. The Employee will be informed in writing of the outcome of the appeal within 5 working days of the appeal meeting.
- Where the headteacher has not been recommended for pay progression he/she will be informed by the appropriate governor. The headteacher will notify any teacher who has not been recommended for pay progression. The headteacher/employee may exercise the right of appeal to the Governing Body following its decision on pay, as above, assisted by a trade union representative/official or colleague.

Appendix 1 General principles underlying this Policy

This Policy should be read in conjunction with other HR Policies adopted by the School

Confidentiality

The appraisal processes will be treated with confidentiality. Access to appraisal records will generally be restricted to Appraiser/Appraisee and line manager (where different). However, the desire for confidentiality does not override the need for the headteacher and governing body to quality-assure the operation and effectiveness of the appraisal system. The headteacher or appropriate colleague might review all teachers' objectives and written appraisal records personally, in order to check consistency of approach and expectation between different appraisers.

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.

Definitions

Unless indicated otherwise, all references to "teacher" include the headteacher.

Delegation

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

Monitoring and Evaluation

The governing body and headteacher will monitor the operation and effectiveness of the school's appraisal arrangements.

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

Schools' Appraisal Policy Flowchart

Appointing Appraisers

The headteacher will be appraised by a sub-group of governors supported by a suitably skilled and/or experienced external adviser appointed by the Governing Body.

The headteacher may be the appraiser for other teachers / the headteacher may delegate the role of appraiser to other teachers who have line management responsibility.

Appraisal Meeting

Objectives should be set before, or as soon as practicable after, the start of each appraisal period. (Usually 1 September).

The objectives should be **Specific, Measurable, Achievable, Realistic and Time-bound**.

Setting Objectives

The objectives 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 the school.

For example, objectives may be set having regard to:

- Leadership & Management
- Whole School Development Plan
- Pupil Progress
- Professional Development

"Teachers' Standards" published in July 2011 apply. Certain teachers should also be assessed against other sets of standards that are relevant to them. Likely to be a maximum of 3 objectives.

Reviewing Performance

Performance will be reviewed in the following ways:

- Lesson observations – planned and 'drop-in'
- Classroom based evidence such as the quality of the learning environment and other monitoring sources e.g.
 - Lesson Plans
 - Work sampling
 - Pupil progress data
 - Pupil progress meetings
 - Pupil and parental discussions/ feedback
 - Pupil discipline records

Feedback

Feedback will take place throughout the year and as soon as practicable after observation has taken place. Feedback will highlight particular areas of strength as well as any areas that need attention.

Formal feedback of planned observation in 5 days

Performance and development priorities will be reviewed and addressed on a regular basis and at

- interim appraisal meeting(s)
- regular professional dialogue, discussions and meetings.

Annual Assessment

This is the end point of the annual appraisal process.

The teacher will receive as soon as practicable a written appraisal report. The teacher will have the opportunity to comment in writing on the report.

The report will cover:

- Details of the objectives
- An assessment of performance
- An assessment of the training and development needs
- A recommendation on pay where that is relevant to the Governors' pay committee

NB Pay progression decision dates - Teachers by 31st Oct. Head teachers 31st December

Development and Support

Each teachers' training and development needs will be identified

Feedback (Where there are concerns)

The appraisee will meet with the teacher to provide:

- Feedback to the teacher about the nature and the seriousness of the concerns
- The opportunity for the teacher to comment and discuss the concerns.
- Agree any support that will be provided to help address those specific concerns
- Identify how progress will be reviewed
- Explain the implications and the process if no or insufficient progress/improvement is made

Review (Where there are concerns)

During or at the end of the review period the appraisee will meet with the teacher to provide feedback on progress.

The possible outcomes are to:

- continue with the appraisal process as normal where the teacher has made or is making sufficient improvement, or
- where the appraiser is not satisfied with progress, consider capability policy