



Appraisal Policy for Teaching Staff

A model policy for schools

Nottingham City Council

The Governing Body of Melbury Primary School adopted this policy in May 2021

It will review it in *2 years - May 2023*

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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 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 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). The Regulations provide the minimum national framework within which schools should operate.
- 1.4 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 appraisal policy applies only to teachers, including head teachers. It has been written in the context of schools, but the same principles apply to unattached teachers.
- 1.5 Nottingham City Council recognises that it is good practice for schools to consult employees on new and revised policies. This model policy has been consulted on with participating Trade Unions and Head Teachers and is recommended to governing bodies.

2. Key and Definitions

- 2.1 **Text in bold** indicates statutory requirements contained in the Appraisal Regulations or the School Staffing Regulations.
- 2.2 Plain text indicates the Model Policy offered to schools by Nottingham City Council.
- 2.3 *Text in italics* indicates where the school needs to add specific detail.

3. Purpose

- 3.1 Melbury Primary School needs all staff to perform effectively in order to deliver the aims and vision of the school, motivating teachers to update their skills and improve their performance. To achieve this, the school aims to ensure that effective recruitment is undertaken, performance expectations and standards are defined through the appraisal framework, performance is monitored and that employees are given appropriate feedback, support and training.

3.2 This policy sets out the framework for a clear and consistent assessment of the overall performance of teachers, including the head teacher, and for supporting their development and professional needs, within the context of the school's plan for improving educational provision and performance, and the standards expected of teachers.

3.3 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 continue to improve their professional practice and to develop as teachers.

3.4 In adopting this policy, the Governing Body is committed to ensuring consistency of treatment and fairness and compliance with equality legislation.

4. Application of the policy

4.1 The policy, which covers appraisal, applies to the head teacher 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 – *Newly Qualified Teachers*) or teachers on capability procedures.

5. The appraisal period

5.1 The appraisal period will run for twelve months from 1st September to 31st August.

- *Pupil progress will be determined from academic achievement data from September to July to cover the time they spend with the named teacher.*
- *Once governors have made a decision on teachers pay in relation to appraisal it will wherever necessary be backdated to the beginning of the academic year (September)*
- *This policy is in line with school's Pay Policy for Teachers and provisions of the latest School Teachers' Pay and Conditions Document (STPCD) which, from September 2013, includes local arrangements for performance informing pay- see Pay Policy for Schools (Teachers)).*

5.2 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.**

5.3 There is flexibility to have a longer or shorter appraisal period when teachers begin or end employment with a school or local authority or when unattached teachers change post within the same authority.

5.4 Where a teacher starts their employment at the school part-way through an appraisal cycle, the head teacher or, in the case of head teachers, governing body will determine

the length of the first cycle for that teacher, with a view to bringing the cycle into line as soon as possible.

6. Appointing appraisers

6.1 Head teachers

6.1.1 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.

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

6.1.3 It is recommended that those appointed as appraisers are determined by the head teacher and/or Governing Body to have the appropriate skills and knowledge for this role.

6.1.4 Where head teachers have an objection to the choice of their appraiser, their concerns will be considered and, if appropriate, an alternative may be offered.

6.2 Teachers

6.2.1 The head teacher will decide who will appraise other teachers taking into account the roles and responsibilities of both appraisers and appraisees.

6.2.2 Only members of staff with QTS may be appraisers for teachers. It is recommended that, in most cases, the appraiser will be the teacher's line manager.

6.2.3 It is recommended that those appointed as appraisers are determined by the head teacher and/or Governing Body to have the appropriate skills and knowledge for this role.

6.2.4 Where teachers have an objection to the choice of their appraiser, their concerns will be considered and, if appropriate, an alternative may be offered.

7. Setting objectives

7.1 The head teacher's objectives will be set by the Governing Body after consultation with the external adviser.

7.2 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 (SMART) and will be appropriate to the teacher's role and level of experience.

7.3 The appraiser and appraisee will seek to agree the objectives but, if that is not possible, the appraiser will determine the objectives.

7.4 Where disagreement exists over the appropriate objectives, the teacher may refer the matter to a member of the Senior Leadership Team or, in the case of head teachers, another governor, not involved in the appraisal process.

7.5 Objectives may be revised during the appraisal period if circumstances change.

7.6 It is recommended that there is school-wide agreement on the appropriate number and types of objectives for teachers at different levels of experience and that these include whole school, team and individual objectives. In most cases, it is expected that each teacher will have a maximum of 3 objectives, unless by agreement in relation to specific responsibilities.

7.7 Although appraisal is an assessment of overall performance, objectives cannot cover the full range of roles/responsibilities. Objectives will, therefore, focus on the priorities for an individual for the cycle. They will take into account any relevant individual circumstances, including disability.

7.8 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. For whole school and team objectives, these should reflect priorities in the school improvement plan and/or the school's strategic development plan, where appropriate.

7.9 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.

7.10 All teachers should be assessed against the Teachers' Standards, the latest copy of which can be found on the DfE website:
<https://www.gov.uk/government/publications/teachers-standards>. 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.

7.11 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, it is therefore important that consideration is given to any relevant criteria when setting objectives. The decision will be based on the statutory criteria and guidance set out in the current STPCD and the relevant teacher standards.

8. Reviewing performance

8.1 Evidence

8.1.1 The evidence gathered by the school and the teacher will largely be determined by the nature and scope of the agreed objectives and/or the Teachers' Standards. Although the school will establish a firm evidence base in relation to the performance of all teachers, there is a responsibility on individual teachers and appraisers to work together.

- 8.1.2 Teachers may also gather any evidence that they deem is appropriate in relation to meeting their objectives, the Teachers' Standards and any other criteria (e.g. in support of an application to be paid on Upper Pay Range) so that such evidence can be taken into account at the review, but they are not obliged to do so.
- 8.1.3 Assessment may be based on evidence from a range of sources. Whilst not an exhaustive list, and appropriate evidence may come from a variety of sources, examples may include:
- Classroom observations
 - Drop ins
 - Reviews of assessment results
 - Reviews of lesson planning records
 - Internal tracking and assessments
 - Moderation within and across schools
 - Work scrutinies
 - Evidence supporting progress against teachers' standards
 - Pupil progress meetings and discussions (termly)
 - Half yearly appraisal meeting
 - Specific data relevant to individual targets

8.2 Lesson Observations

- 8.2.1 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 and will be a developmental activity.
- 8.2.2 All observation should be planned, with an agreed focus and linked to objectives. The number of observations will vary depending on the individual circumstances of the teacher and the overall needs of the school, based on the principle of 'proportionate to need' and will normally be decided through discussion with the individual, in accordance with the school's observation protocol.
- 8.2.3 Classroom observations will be carried out by those with QTS and should be advised with at least 5 working days notice. It is recommended that those appointed as observers are determined by the head teacher and/or Governing Body to have the appropriate skills and knowledge for this role.
- 8.2.4 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, frequency and notice will be in accordance with the school's observation protocol.
- 8.2.5 For the purpose of professional development, feedback about lesson observations should be developmental, not a judgement based on Ofsted grades.

8.2.6 Teachers, including the Headteacher, who have responsibilities outside the classroom, should also expect to have their performance of those responsibilities observed and assessed.

8.3 Development and support

8.3.1 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 and teams.

8.3.2 The school's CPD programme will be informed by the development needs identified as part of the appraisal process.

8.3.3 The Governing Body will, as far as possible, make appropriate provision for development needs arising from the appraisal process.

8.3.4 The Headteacher will report to the governing Body on CPD activities, as required.

8.3.5 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 based on the extent to which:

- a) the training and support will help the school to achieve its priorities; and
- b) the CPD identified is essential for an appraisee to meet their objectives.

8.3.6 Where CPD is identified as key to the improvement of an individual, account will be taken of where it has not been possible for teachers to fully meet the performance required, against their agreed priorities, if the resources have not been available. This should be recorded at their review meeting.

8.4 Feedback

8.4.1 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 highlight particular areas of strength as well as any areas that need attention. It is recommended that all feedback meetings are recorded and notes shared with the appraisee. Ideally a reasonable feedback period would be within 5 working days.

8.4.2 Where there are concerns about any aspects of the teacher's performance the appraiser will meet the teacher formally to:

- a) give clear feedback to the teacher about the nature and seriousness of the concerns;
- b) give the teacher the opportunity to comment and discuss the concerns;
- c) agree any support (eg coaching, mentoring, structured observations), that will be provided to help address those specific concerns;
- d) make clear how, and by when, the appraiser will review progress, for example, it may be appropriate to revise objectives, and it will be necessary to allow sufficient

time for improvement. The amount of time is up to the school but should reflect the seriousness and nature of the concerns;

e) explain the implications and process if no, or insufficient, improvement is made.

8.4.3 It is recommended that an impartial, suitably qualified third party is invited to the above meeting to assist with any points of disagreement.

8.4.3 The outcome of any such meeting will be confirmed in writing to the teacher.

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

8.5 The next step

8.5.1 If the appraiser is not satisfied with progress, the teacher will be notified in writing that the appraisal system will no longer apply and that their performance will be managed under the capability procedure. The capability procedures will be conducted according to the current policy in place at the school.

8.5.2 Circumstances will vary, however, it may be appropriate for the appraiser to conduct the formal capability meetings and the capability review meeting for reasons of continuity. In the case of Headteachers, this would be the sub-group of governors who have been appraising the Headteacher.

9. 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 the external adviser.**

9.2 This assessment is the end point to the annual appraisal process, but performance and development priorities will be reviewed and addressed throughout the year (see 8 above) in interim meetings which will take place (*e.g. once a term*).

9.3 **The teacher will receive a written appraisal report as soon as practicable following the end of each appraisal period** and will have the opportunity to comment on this in writing. In this school, teachers will receive their written appraisal reports by 31 October, unless not practicable (31 December for the head teacher).

9.4 The appraisal report will include:

- a) details of the teacher's objectives for the appraisal period in question;
- b) **an assessment of the teacher's performance of their role and responsibilities against their objectives and the relevant standards and their level of responsibility and experience;**
- c) **an assessment of the teacher's training and development needs and identification of any action that should be taken to address them;**
- d) **a recommendation on pay where that is relevant** (NB – wherever possibly, pay recommendations need to be made by 31 December for head teachers and by 31 October for other teachers, and approved by the School's Pay Committee, who should ensure that all teachers are individually advised in writing of the decision taken in relation to their pay);
- e) a space for the teacher's own comments;

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

10. Appeals

10.1 Appraisal appeal

10.1.1 If appraisees are not satisfied with their appraisal, they should seek to resolve this by discussing the matter informally with the decision-maker within ten working days of the decision.

10.1.2 Appraisees have a formal right of appeal against their written appraisal report. In most cases this will be to the line manager of the appraiser, or another member of the senior leadership team or governor.

10.1.3 Head teachers and Governing Bodies will be able to provide details of the appropriate process in their schools.

10.2 Appeals against pay progression decision

10.2.1 Where head teachers or teachers are eligible for and have not been recommended for pay progression, they should refer to the appeals procedure in the schools' Pay Policy for Teachers and accompanying Guidance.

General Principles Underlying This 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. Information presented to governing bodies should be anonymised. *Schools to say here how they might achieve this, for example, the head teacher 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. The head teacher might also wish to be aware of any pay recommendations that have been made.*

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, including the duty to make reasonable adjustments for disabled teachers. The governing body is aware of the guidance on the Equality Act issued by the Department for Education. Each Governing Body should consider the equality impact of the Appraisal Policy in individual schools.

Definitions

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

Delegation

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

Grievances

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

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 be *(eg referred immediately 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 monitoring and/or formal procedures to continue during a period of sickness absence.

Monitoring and Evaluation

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

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.

