



Model Teachers' Performance Appraisal Policy

September 2015

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The policy was adopted by the governing body of [name] school on [date]

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Policy for appraising teacher performance

1 Purpose

- 1.1 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 within the context of the school's plan for improving educational provision and performance, and the standards expected of teachers. It also sets out the arrangements that will apply when teachers fall below the levels of competence that are expected of them.

2 Application of the policy

- 2.1 This policy covers teachers' appraisal. This policy applies to the head teacher and to all teachers employed by the school, except those on contracts of less than one term, those undergoing induction (i.e. NQTs) and those who are subject to the school's capability policy.
- 2.2 Throughout this policy, unless indicated otherwise, all references to 'teacher' include the head teacher.
- 2.3 All appraisal activities will take place within the teacher's directed time, not within a teacher's PPA time.
- 2.4 As part of the overall implementation of the policy, the school will have consideration for workload impact.

3 Teacher Appraisal

3.1 Purpose of appraisal

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 is intended to foster professional dialogue between colleagues and 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

- 3.2.1 The appraisal period will run for twelve months from 1 September to 31 August. *(These are Schools' Human Resources recommendations to link with pay decisions, but you are able to choose your own dates)*
- 3.2.2 Assessment against the Teachers' Standards should start from the premise that all teachers are meeting the standards and they will be assessed as meeting the standards unless evidence to the contrary is provided. Assessment will be ongoing throughout the appraisal process and a final assessment will be completed at the year-end review meeting.
- 3.2.3 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.
- 3.2.4 Where a teacher starts their employment part way through a cycle, the head teacher shall determine the length of the first cycle for that teacher, with a view to bringing his or her cycle in line with the cycle for other teachers of the school as soon as possible. The Governing Body will perform this same role for a head teacher who starts his or her employment at the school part way through a cycle.

3.3 Appointing appraisers

- 3.3.1 The head teacher will be appraised by the Governing Body, supported by a suitably skilled and experienced external adviser who has been appointed by the Governing Body for that purpose.
- 3.3.2 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.
- 3.3.3 The choice of appraiser is for the head teacher to determine. Where teachers have an objection, for professional reasons, to the head teacher's choice, these objections should be put in writing to the head teacher who will carefully consider the objections. Where appropriate, an alternative appraiser will be offered, however the final decision is the head teachers'. All appraisers appointed by the head teacher will be qualified teachers and will have current or recent teaching experience and will be suitably trained. In this school, this will normally be (*delete as appropriate*)
- The head teacher
 - A member of the senior leadership team
 - The teacher with a clear line management overview of a teacher's work
 - A teacher(s) specifically identified to undertake appraisal of other teachers in the school (normally this will be a teacher with management responsibility)
- 3.3.4 Where a teacher has more than one line manager, the head teacher will determine which line manager will be best placed to appraise the teacher. It will be the responsibility of the line manager who is designated to act as appraiser to consult with other relevant line managers to gather additional information.
- 3.3.5 Where it becomes apparent that the appraiser will be absent for the majority of the cycle or is unsuitable for professional reasons, the head teacher may perform the duties him/herself or delegate them to another teacher. Where this teacher is not the appraisee's line manager the teacher will have an equivalent or higher status in the staffing structure to the appraisee's line manager. A performance appraisal cycle will not begin again in the event of an appraiser being changed.

3.4 Setting objectives

- 3.4.1 The head teacher's objectives will be set by the Governing Body after consultation with the external adviser. Objectives will be focused on key school priorities and take account of the relevant head teacher standards.
- 3.4.2 Objectives for each teacher, including the head 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 linked to the relevant standards, 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, and taking into consideration work/life balance for all staff. The appraiser and teacher will seek to agree the objectives but, if that is not possible, the appraiser will determine the objectives, and the teacher may record their comments in writing as an appendix to the appraisal statement. Objectives may be revised if circumstances change in consultation with the appraisee.
- 3.4.3 The objectives set for each teacher, including the head 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.

- 3.4.4 Teachers will have a maximum of 3 objectives. The agreed objectives will contain a description of what success may look like.
- 3.4.5 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:
- All teachers will be assessed against the set of standards contained in the document called "Teachers' Standards" published in July 2011
 - Assessments for head teachers will take into account the National Head Teacher Standards of Excellence (2014).
- 3.4.6 The head teacher will be responsible for ensuring that the appraisal process operates consistently, that objectives are focused on school priorities and that they take account of the standards assessment, as described in 3.2.2. All objectives will be referred to the head teacher prior to the commencement of the cycle of monitoring. Where the head teacher has concerns about the relevance of the objectives set, these concerns will be discussed with the appraiser. The objectives may require amendment following discussion with the teacher.

3.5 Reviewing performance

Observation

- 3.5.1 This school believes that observation of classroom and leadership practice 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 by those with QTS.
- 3.5.2 Detailed arrangements for the observation of classroom and leadership practice are set out in Appendix C.
- 3.5.3 There should be a limit of three observations within a total time of up to three hours per year as part of the appraisal process. 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. No evaluation of individual teachers will be made during Learning walks or drop – in's and any such classroom visit will not form part of the appraisal process. The frequency and conduct of such visits are contained in the relevant school protocol.

Development and support

- 3.5. 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 as detailed in the section on "Setting Objectives" above.

Feedback and mid-year assessment

- 3.5.6 Teachers will receive constructive feedback on their performance throughout the year and as soon as practicable after an observation has taken place or other evidence has come to light. Feedback will include discussion with the teacher, will highlight particular areas of strength as well as any areas that need attention and will determine any appropriate action required.

- 3.5.7 A mid-year assessment may take place, where appropriate, to discuss areas of development and concern and support offered to the teacher as required.
- 3.5.8 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.

3.6 Transition to capability

- 3.6.1 When dealing with a teacher experiencing difficulties, the objective is to provide support and guidance in order to improve the teacher's performance.
- 3.6.2 If an appraiser identifies through the appraisal process, or via other sources of information, for example parental complaints, 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; inform the teacher that he/she has the right to be accompanied 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; this list is not exhaustive), 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.
- 3.6.3 The teacher's progress will continue to be monitored as part of the appraisal process and a reasonable time given for the teacher's performance to improve. 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.
- 3.6.4 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.
- 3.6.5 If no, or insufficient, improvement has been made over this period, the teacher will be invited to a transition meeting to determine whether formal capability proceedings need to be commenced or the appraisal process remains in place. The teacher may be accompanied by a trade union representative or work place colleague and will have at least 5 working days' notice of the meeting.

3.7 Annual assessment

- 3.7.1 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 will consult the external adviser.
- 3.7.2 This assessment is the end point to the annual appraisal process, but performance will be reviewed and addressed on a regular basis throughout the year. The teacher's objectives and performance against the teaching standards, (as described in 3.2.2), are the focus for the appraisal process and will therefore be the focus of the review.

3.7.3 Within two months of the end of each appraisal period, the teacher will receive – and have the opportunity to comment in writing on - a written appraisal report. In this school, teachers, including the head teacher, will receive their written appraisal reports no later than [31 October]. 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 any relevant standards connected to these objectives.
- 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.

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

3.7.5 Any recommendations on pay will be referred to the head teacher before being referred on to the pay committee.

3.8 Right of appeal

3.8.1 Appraisees have a right of appeal against the outcome of their appraisal. Where the appeal is in relation to pay, the appeals process as outlined in the Schools' Pay Policy should be used.

Informal process

3.8.2 If the member of staff is not satisfied with the outcome of their appraisal, he/she should seek to resolve this by discussing the matter informally with the decision maker within ten working days of receipt of the written appraisal report.

3.8.3 Where this is not possible or where the staff member continues to be dissatisfied, he/she may follow a formal appeal process.

Formal appeal process

3.8.4 The staff member should set down in writing the grounds of appeal and send it to the person or committee who made the decision, within ten working days of the notification of the decision being appealed against or the outcome of the informal discussion referred to above.

3.8.5 The committee or person who made the decision should arrange an appeal hearing. The appeal will be heard by the head teacher or panel of governors who will consider the appeal and give the staff member an opportunity to make representations in person. The committee or person who made the original decision will also be present at the appeal hearing.

3.8.6 The staff member will be given five working days' notice of the appeal hearing and will be informed of his/her right to be accompanied by a representative of an independent trade union or work place colleague.

3.8.7 Following the appeal hearing the employee must be informed in writing of the decision, within 5 working days of the appeal hearing.

3.9 Confidentiality

3.9.1 Access to the written appraisal report will normally be limited to the appraisee, the appraiser, the head teacher and / or nominated member of the senior management team.

3.9.2 Members of SLT who are involved in the production and review of the CPD programme will have access to relevant parts of the appraisal documentation.

3.10 Equality and consistency

3.10.1 As outlined in paragraph 3.4.6 above, the head teacher will have overall responsibility for the quality assurance of the appraisal process across the school. This will include ensuring the consistency and equality of application of the process throughout the school. The head teacher may delegate responsibility for monitoring consistency and equality of application to a teacher member of the senior management team.

3.10.2 The head teacher will be responsible for reporting annually to the governing body on any relevant issues, including those of underperformance, arising from the annual review cycle and on any action required to address those issues. The report will enable governors to receive an overall general report of the process but will not include specific details relating to individual members of staff.

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

3.10.4 The Governing Body will receive a report from the head teacher annually in relation to the impact of the application of this policy.

3.11 Retention of statements

3.11.1 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.

3.12. Pay recommendations

3.12.1 Pay progression is linked to performance for all pay progression from September 2013 onwards.

3.12.2 The appraiser and head teacher must consider annually whether or not to increase the salary of eligible teachers when assessing against their performance targets. Judgments will be properly rooted in evidence provided as part of the Performance Appraisal process.

3.12.3 Decisions regarding pay progression will be made by the pay committee, following recommendations from the head teacher, as set out in the schools pay policy, with reference to the teachers' appraisal reports and the pay recommendations they contain. In the case of NQTs, whose appraisal arrangements are different, pay decisions will be made by means of the statutory induction process.

3.12.4 The written appraisal report at the end of the cycle is the only source of evidence teachers require to support pay progression. Teachers are able to submit additional evidence if they choose but will not be penalised if they choose not to do so.

3.12.5 Decisions not to progress up the pay spine will only be made in circumstances where concerns about standards of performance have been raised in writing as part of the performance appraisal process and in line with the schools pay policy.

4 Review of policy

4.1 This policy will be reviewed twenty four months from its implementation date.

Appendix A – Procedure for conducting National Standards Assessment

1. The 2012 Appraisal Regulations [Para 6 (a)] require head teachers “to inform the teacher of the standards against which the teacher’s performance in that appraisal period will be assessed”. The aim of the assessment against national standards, as required by the regulations, will be to identify – through professional dialogue - the standards which represent the most appropriate areas for professional development for individual teachers in the forthcoming appraisal cycle. Wherever possible, these assessments will take place in the Summer Term, so that the most helpful professional development performance management objectives can be identified – and any necessary arrangements made – in good time for the new school year.
2. It follows from this that the school needs to adopt a fair and evidence-based procedure for deciding whether or not standards are met; this will be carried out in line with point 3.2.2 of the policy. The head teacher has a key role to play in ensuring that judgments are consistent across the school.
3. The key stages in informing the teacher of the standards against which the teacher’s performance in to be assessed are:
 - Teacher and appraiser will attend a 45 minute Professional Dialogue meeting. The aim of the meeting will be to agree the standards against which the teacher’s performance will be assessed in the next appraisal cycle. Where there is agreement that all relevant standards are met, the teacher will identify the national standard(s) against which he or she would like to be assessed by means of the professional development objective. Where examination of evidence at the Professional Dialogue meeting results in agreement that particular standards are not met, these standards will become those against which the teacher’s performance will be assessed in the next appraisal cycle
 - Where teacher and appraiser cannot reach agreement on whether or not a standard is met, the matter will be referred to the head teacher, who will meet with the teacher, consider all available evidence, and inform the teacher of his or her decision
 - A teacher dissatisfied with the head teacher’s decision will have the right of appeal to governors under existing procedures.
 - The objectives decided at or following the Professional Dialogue Meeting will form the basis of next year’s appraisal process.

Appendix B – National Teachers’ Standards Assessment

The assessment can include areas where you might be able to help others and areas where you might need help from others

Name	Pay Point	Date Completed	Comments (to be recorded where required, in all other areas please indicate ‘N/A’)
PART 1: THE STANDARDS			
1.1 Set high expectations which inspire, motivate and challenge pupils 1 Establish a safe and stimulating environment for pupils, rooted in mutual respect 2 Set goals that stretch and challenge pupils of all backgrounds, abilities and dispositions 3 Demonstrate consistently the positive attitudes, values and behaviour which are expected of pupils			
1.2 Promote good progress and outcomes by pupils 1 Be accountable for pupils’ attainment, progress and outcomes 2 Plan teaching to build on pupils’ capabilities and prior knowledge 3 Guide pupils to reflect on the progress they have made and their emerging needs 4 Demonstrate knowledge and understanding of how pupils learn and how this impacts on teaching 5 Encourage pupils to take a responsible and conscientious attitude to their own work and study			
1.3 Demonstrate good subject and curriculum knowledge 1 Have a secure knowledge of the relevant subject(s) and curriculum areas, foster and maintain pupils’ interest in the subject and address misunderstandings 2 Demonstrate a critical understanding of developments in the subject and curriculum areas, and promote the value of scholarship 3 Demonstrate an understanding of and take responsibility for promoting high standards of literacy, articulacy and the correct use of standard English, whatever the teacher’s specialist subject 4 If teaching early reading, demonstrate a clear understanding of systematic synthetic phonics 5 If teaching early mathematics, demonstrate a clear understanding of appropriate teaching strategies			
1.4 Plan and teach well-structured lessons 1 Impart knowledge and develop understanding through effective use of lesson time 2 Promote a love of learning and children’s intellectual curiosity 3 Set homework and plan out-of-class activities to consolidate and extend the knowledge and understanding pupils have acquired			

<p>4 Reflect systematically on the effectiveness of lessons and approaches to teaching</p> <p>5 Contribute to the design and provision of an engaging curriculum within the relevant subject area(s)</p>	
<p>1.5 Adapt teaching to respond to the strengths and needs of all pupils</p> <p>1 Know when and how to differentiate appropriately, using approaches which enable pupils to be taught effectively</p> <p>2 Have a secure understanding of how a range of factors can inhibit pupils' ability to learn and how best to overcome these</p> <p>3 Demonstrate an awareness of the physical, social and intellectual development of children, and know how to adapt teaching to support pupils' education at different stages of development</p> <p>4 Have a clear understanding of the needs of all pupils, including those with special educational needs; those with high ability; those with English as an additional language; those with disabilities; and be able to use and evaluate distinctive teaching approaches to engage and support them</p>	
<p>1.6 .Make accurate and productive use of assessment</p> <p>1 Know and understand how to assess the relevant subject and curriculum areas, including statutory assessment requirements</p> <p>2 Make use of formative and summative assessment to secure pupils' progress</p> <p>3 Use relevant data to monitor progress, set targets, and plan subsequent lessons</p> <p>4 Give pupils regular feedback, both orally and through accurate marking, and encourage pupils to respond to the feedback</p>	
<p>1.7 Manage behaviour effectively to ensure a good and safe learning environment</p> <p>1 Have clear rules and routines for behaviour in classrooms, and take responsibility for promoting good and courteous behaviour both in classrooms and around the school, in accordance with the school's behaviour policy</p> <p>2 Have high expectations of behaviour, and establish a framework for discipline with a range of strategies, using praise, sanctions and rewards consistently and fairly</p> <p>3 Manage classes effectively, using approaches which are appropriate to pupils' needs in order to involve and motivate them</p> <p>4 Maintain good relationships with pupils, exercise appropriate authority and act decisively where necessary</p>	
<p>1.8 Fulfil wider professional responsibilities</p> <p>1 Make a positive contribution to the wider life and ethos of the school</p> <p>2 Develop effective professional relationships with colleagues, knowing how and when to draw on advice and specialist support</p> <p>3 Deploy support staff effectively</p> <p>4 Take responsibility for improving teaching through appropriate professional development, responding to advice and feedback from colleagues</p> <p>5 Communicate effectively with parents with regard to pupils' achievements and well-being</p>	

<p>PART 2 – PERSONAL AND PROFESSIONAL CONDUCT The following statements define the behaviour and attitudes which set the required standard for conduct throughout a teacher's career</p>	
<p>2.1 Teachers uphold public trust in the profession and maintain high standards of ethics and behaviour, within and outside school, by:</p> <ol style="list-style-type: none"> 1 Treating pupils with dignity, building relationships rooted in mutual respect, and at all times observing proper boundaries appropriate to a teacher's professional position 2 Having regard to the need to safeguard pupils' well-being, in accordance with statutory provisions 3 Showing tolerance of and respect for the rights of others 4 Not undermining fundamental British values, including democracy, the rule of law, individual liberty and mutual respect, and tolerance of those with different faiths and beliefs 5 Ensuring that personal beliefs are not expressed in ways which exploit pupils' vulnerability or might lead them to break the law 	
<p>2.2 Teachers must have a proper and professional regard for the ethos, policies and practice of the school in which they teach, and maintain high standards in their own attendance and punctuality</p>	
<p>2.3 Teachers must have an understanding of, and always act within, the statutory frameworks which set out their professional duties and responsibilities</p>	
<p>PREAMBLE: Teachers make the education of their pupils their first concern, and are accountable for achieving the highest possible standards in work and conduct. Teachers act with honesty and integrity; have strong subject knowledge; keep their knowledge and skills as teachers up-to-date and are self-critical; forge positive professional relationships; and work with parents in the best interests of their pupils</p>	

Appendix C – Observation of Teaching and Leadership Practice

1 Purpose of Lesson Observations

1.1 Lesson observations are developmental and supportive and those involved in the process will:

- carry out the role with professionalism, integrity and courtesy;
- seek to reach agreement in advance on how classroom observations are to be carried out;
- evaluate objectively;
- report accurately and fairly; and
- respect the confidentiality of the information gained.

2 Formal Lesson Observations

2.1 Teachers (other than those who are part of the support plan set out section 3.6) will have a maximum of 3 lesson observations in the course of the school year.

2.2 For observations teachers will:

- Be consulted on the pattern of classroom observation which they can expect annually.
- Be notified at least five working days in advance of any observation
- Have a reasonable amount of time between classroom observations, irrespective of the purpose of those observations;
- Only be observed by persons with qualified teacher status
- Receive constructive oral and written feedback and support, in the context of professional dialogue between colleagues.
- Know the focus of the observation;
- Receive oral feedback as soon as possible after the observation and no later than the end of the following working day.
- Be given time for feedback for classroom observation outside of PPA time.
- Receive written feedback within five working days of the observation taking place.
- Have the right to append written comments on the feedback document. No written notes in addition to the written feedback and teacher's comments will be kept.

2.3 An individual teacher is free to request that all general lesson observations be unannounced

Appendix D – Example of appraisal target descriptors

TEACHER STANDARDS: setting appropriate appraisal targets

Professional Area	Relevant Standards	M – minimum	M – mid-scale	M – maximum	UPS 1	UPS 3
PROFESSIONAL PRACTICE	1.1(1);1.2(2,3,5) 1.3 (1,3) 1.4(1,2,3) 1.5 all 1.6 (1) 1.7 (1,2,3) 1.8 (3) 2.1 (2,4) Preamble					
PROFESSIONAL OUTCOMES	1.1(2) 1.2(1,2,3) 1.5(1) 1.6 (3,4) Preamble					
PROFESSIONAL RELATIONSHIPS	1.1(1) 1.6(4) 1.7(4) 1.8(2,3,5) 2.1 (1,3,4) Preamble					
PROFESSIONAL DEVELOPMENT	1.2(4,5) 1.3(1,2,4,5) 1.4(5) 1.5(2,3,4) 1.6(1) 1.8(4) 2.1(2) 2.3 Preamble					
PROFESSIONAL CONDUCT	1.1(3) 1.7(1) 1.8(1) 2.1(all) 2.2 2.3 Preamble					

Appendix E – Pay Recommendation Form

Part 1: Staff member and Performance Appraisal details		
Appraisee Name:		
Job title:		
Outcome of Performance Appraisal:		
Pay recommendation made?	Yes/No* <i>*If yes please complete part 2 and 3; if No, please complete authorisations only under part 2 and 3</i>	
Notes:		
Part 2: Pay recommendations		
Current	Recommendation	
Teachers pay range:	Teachers pay range:	
Reference point:	Reference point:	
Salary:	Salary:	
Additional Allowances (i.e. TLR)	Additional Allowances (i.e. TLR)	
Authorisations	Signature	Date
Appraiser		
Relevant SLT member (where appropriate)		
Head teacher		
Notes:		
Part 3: Pay Committee Decision		
Pay Recommendation Approved?	Yes/No	
Notes:		
Authorisations	Signature	Date
Chair of Pay Committee		

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To obtain more information on the Model Teachers' Performance Appraisal Policy, please contact:

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