

Appraisal Policy (Teaching)

This policy sets out the framework for a clear and consistent assessment of the overall performance of teachers, including the headteacher, 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.

This policy has been developed in accordance with The Education (School Teachers' Appraisal) (England) Regulations 2012 which apply to all maintained schools in England, including maintained special schools, and to local authorities in respect of centrally employed (or unattached) teachers.

1	Introduction.....	1
2	Appraisal meeting.....	2
3	Evidence.....	3
4	Annual appraisal review	5
5	Raising concerns about a teacher's performance	6
6	General principles underlying this policy	7

Where the headteacher is the employee concerned, any reference to the headteacher in this policy should be replaced with the chair of governors.

1 Introduction

The school wishes to encourage a culture in which all teachers take responsibility for improving their teaching through appropriate professional development. The appraisal process is intended to be a supportive and developmental process designed to ensure that teachers:

- have the skills and support they need to carry out their role effectively;
- can continue to improve their professional practice and to develop and progress as teachers.

The appraisal process will inform continuing professional development and will also be used to determine decisions on pay progression. This will be linked to school improvement priorities and to the ongoing professional development needs and priorities of teachers, within the constraints of the school budget.

Teachers should receive constructive feedback on their performance throughout the appraisal period.

This policy applies to the headteacher and to all teachers employed by the school, trust or local authority, except for the following:

- those on contracts of less than one term;
- those undergoing induction (i.e. NQTs);
- those who are subject to the Teacher Capability Policy.

1.1 Appraisal period

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

Teachers who are employed on a fixed term contract of at least one term but less than one year will have their performance managed in accordance with the principles underpinning this policy. The length of the appraisal period will be determined by the duration of their contract and an individual teacher's objectives should take account of the length of contract.

Where a teacher starts their employment at the school part way through an appraisal period, the length of the first period will need to be determined with a view to bringing this in line with other teachers as soon as possible.

Where an existing teacher transfers to a new post within the school part way through an appraisal period their objectives should be reviewed and amended where appropriate, and the school should decide whether the same appraiser continues for the remainder of the period.

1.2 Performance standards

Overall performance includes meeting performance objectives, meeting the Teachers Standards, and effectively carrying out their job role and responsibilities. All teachers will be assessed against the Teachers' Standards, published by the Department for Education in July 2011. A copy of the Teachers' Standards is available on the extranet.

In addition, Upper Pay Range teachers will be assessed to determine whether they are highly competent in all of the Teachers Standards and that their achievements and contribution to the school has been substantial and sustained. Definitions within this school for substantial and sustained are included in the school's Teacher Pay Policy.

The governing body or headteacher, will also determine whether certain teachers should also be assessed against other sets of relevant standards, e.g. Qualified Teacher Learning and Skills (QTLS) status. Teachers will be informed at the beginning of the appraisal period if they are to be assessed against any other relevant standards.

For headteachers the DfE 'National Standards of Excellence for Headteachers' 2015, can be used to inform the appraisal process. A copy of these standards is available on the extranet.

2 Appraisal meeting

Before the start of each appraisal period, or as soon as practicable after, an appraisal meeting will be held to set teacher's objectives and to assess the teacher's professional development needs, identifying any action that should be taken to address these needs.

There is no statutory right for teacher's to be accompanied by a trade union representative or work colleague at any meetings during the appraisal process.

2.1 Appointing appraisers

All appraisers, other than those appraising headteachers, will be qualified teachers. The headteacher will decide who will appraise teachers.

The headteacher will be appraised by the governing body, supported by a suitably skilled and/or experienced external adviser, e.g. School Leadership Advisers, who has been appointed by the governing body for that purpose. In this school, the task of appraising the headteacher will be delegated to a minimum of two performance management governors, determined by the governing body. The headteacher's objectives will be set by the performance management governors after consultation with the external adviser e.g. School Leadership Adviser.

Under the Collaboration Regulations, where a headteacher is temporarily responsible for more than one school, the governing bodies may arrange for a joint committee made up of governors from all the schools involved to be established to oversee the headteacher's pay and performance management arrangements and other relevant staffing issues.

Where it becomes apparent that the appraiser will be absent for the majority of the appraisal period, another appropriate teacher may take on the appraiser role as determined by the headteacher (or by the chair of governors in respect of headteacher absence).

2.2 Setting objectives

The objectives set for each teacher, should be appropriate to the teacher's role, responsibilities and level of experience. They should be clearly defined, indicate what success may look like and should be SMART:

- **Specific** – objectives should state a desired outcome;
- **Measurable** – the employee should know when the objective has been achieved;
- **Achievable** – must be something the employee is capable of achieving;
- **Relevant** – the objectives should be relevant to school priorities;
- **Time-bound** – when does the objective have to be achieved?

The number of objectives for each teacher should be reasonable, and this will normally be a maximum of three objectives. Objectives should not be based on teacher generated data and/or predictions or based on data for a single group of pupils, however objectives can be agreed in relation to robust assessment data if appropriate ([‘Making Data Work’ report](#)).

The objectives set for each teacher should take account of the following:

- Links to the school's plans and priorities for improving the school's educational provision and performance and improving the education of pupils at that school;
- The school improvement plan and development planning;
- School self-evaluation;
- The scope and context of the particular role;
- Any specific needs (e.g. for improvement) for the teacher;
- The professional aspirations of the teacher where possible.

The appraiser and teacher will seek to agree the objectives but, if that is not possible, the appraiser will determine the objectives. Appraisees may record their comments alongside objectives if required.

Teachers may wish to undertake a 'self-review' against the Teachers Standards and could bring evidence that is available from day to day practice to support their evaluation against the teachers standards. This can assist discussions regarding the Teachers Standards during the appraisal process and will ensure overall performance is assessed as well as performance against agreed objectives.

A template appraisal review statement is available on the extranet.

3 Evidence

The school will use a range of evidence to assess a teacher's overall performance, which may include:

- Lesson observations;

- Observations and results from wider school activities and assessments;
- Learning walks;
- Pupils' performance and progress, including scrutiny of pupils' work;
- Pupil progress reviews;
- Quality of reports and other expected 'paperwork';
- Evidence of the wider contribution to the work of the school;
- Evidence of their impact on the effectiveness of other teachers or staff;
- Self-assessment documentation;
- CPD records;
- Professional dialogue.

The range and level of evidence collected for appraisal and pay determination purposes will always be proportionate and minimise workload where possible.

3.1 Observation

This school believes that observation of classroom practice and other responsibilities is an important way of assessing teachers' performance and identifying any particular strengths and areas for development they may have. It can also capture useful information which can inform school improvement more generally. All observation will be carried out in a professional and supportive manner.

For the purposes of appraisal, teachers' performance will be observed on an appropriate and reasonable number of occasions. Wherever possible observations will be agreed in advance by the appraiser with the appraisee, giving reasonable notice and confirming the context of the lesson to be observed, based on the individual circumstances of the teacher and the overall needs of the school.

The total amount of classroom observation arranged for each teacher will be no more than 3 hours in each appraisal period. In exceptional circumstances this maximum limit may be exceeded, where concerns have been raised about a teacher's performance, or where the teacher requests additional observation visits or voluntarily participates in peer observations. This limit does not apply in circumstances outside of the appraisal process e.g. for reviews linked to school improvement and for school self-evaluation purposes or during OFSTED inspections.

The observation should provide evidence of the teacher's performance against the Teachers Standards and evidence to inform the achievement of objectives. Classroom observations will normally be undertaken by the headteacher, or another appropriate colleague, who has Qualified Teacher Status (QTS).

Oral feedback will be given as soon as possible after the observation and, wherever possible, no later than the end of the following working day. Written feedback will be provided within five working days.

The written feedback will include the date on which the observation took place, the activities and actions observed and the length of the observation. The teacher will be able to add or attach written comments to the feedback document. If issues emerge that were not part of the focus of the observation these will also be covered in the written feedback and action taken where appropriate, in accordance with this policy.

Feedback will highlight particular areas of strength as well as any areas that require further development. This could result in areas for development which feed into an individual teacher's continuing professional development (CPD) or areas of strength which may feed into CPD across

the school. For example, this could include the development of peer and/or joint observations with staff, as part of their CPD development.

In addition to formal observations, the headteacher, or other appropriate colleague, may 'drop in' or undertake learning walks, or consider other whole school evidence to evaluate the standards of teaching and to ensure that the high standards of professional performance are established and maintained. The length and frequency of 'drop ins' and learning walks, and the notice given, will vary depending on specific circumstances.

Teachers, including the headteacher, who have responsibilities outside the classroom should also expect to have their performance of those responsibilities assessed and evaluated for impact.

3.2 Interim review meetings

Appraisers should carry out interim review meetings with the appraisee at appropriate points during the appraisal period to discuss overall performance, including progress towards objectives and an assessment against the Teachers Standards and their job role and responsibilities. The teacher will have the opportunity to add their own comments to the interim review document.

Objectives should be reviewed to ensure they are still relevant and amended as appropriate, in line with school circumstances and needs.

A template interim review meeting form is available on the extranet.

4 Annual appraisal review

Each teacher's overall performance will be formally assessed for each appraisal period and an appraisal review meeting will take place to discuss this assessment. When assessing the overall performance of the headteacher, the performance management governors must consult the external adviser e.g. School Leadership Adviser.

At the appraisal review meeting the appraiser must fully explain whether the teacher's overall performance meets the required standards, including whether they have met their performance objectives, have fully met the Teachers Standards and have effectively carried out their job role and responsibilities.

In addition, Upper Pay Range teachers will be assessed to determine whether they are highly competent in all of the Teachers Standards and that their achievements and contribution to the school has been substantial and sustained. Definitions within this school for substantial and sustained are included in the school's Teacher Pay Policy.

The appraiser should also discuss the pay recommendation where teachers are eligible to be considered for progression. All pay recommendations will be based on the teacher's overall performance, including assessment against their objectives, the Teachers Standards and their role and responsibilities, and will be in accordance with the school's Teacher Pay Policy.

This assessment is the end point to the annual appraisal process, but teacher's overall performance and development priorities should be reviewed and addressed on a regular basis throughout the year during interim review meetings.

The teacher will receive a written report of their appraisal at the end of each appraisal period. In this school, teachers will receive their appraisal reports by 31 October (31 December for the headteacher). Teachers will have the opportunity to add their own comments to the 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 overall performance, including assessment against their objectives, the Teachers Standards and of carrying out their role and responsibilities;
- an assessment of the teacher's professional development needs and identification of any action that should be taken to address them;
- a recommendation on pay progression where appropriate.

A template teacher annual appraisal assessment report is available on the extranet.

The assessment of overall performance and of professional development needs will inform the planning process for the following appraisal period. The appraisal review meeting at the end of the review period to assess overall performance may be combined with the appraisal meeting to set objectives (see section 2) for the coming appraisal period, or two separate meetings may take place, whichever is deemed appropriate by the appraiser.

5 Raising concerns about a teacher's performance

Where there are concerns about any aspects of the teacher's overall performance, including progress towards meeting objectives, meeting the Teachers Standards or effectively carrying out their job role and responsibilities, this should be raised with the teacher at the earliest opportunity. This will facilitate appropriate support being agreed and will minimise, wherever possible, a situation where a teacher's overall performance does not meet the required standards.

In the case of performance concerns regarding a headteacher, a performance management governor(s) would undertake the process as appraiser.

As soon as performance concerns arise the appraiser will invite the teacher to an interim review meeting to:

- give clear feedback to the teacher about the nature and seriousness of the performance concerns;
- give the teacher the opportunity to comment and discuss the performance concerns;
- discuss and agree a support plan which:
 - sets clear required improvements;
 - details any support (e.g. coaching, mentoring, structured observations) that will be provided to help address the specific concerns;
 - sets timescales for review;
- explain the implications and process if no, or insufficient, improvement is made, e.g. potential impact on pay progression and potential move to formal Teacher Capability Policy.

The headteacher, or other appropriate colleague, may take on the appraiser responsibilities within the appraisal process, whilst a teacher's performance concerns are being addressed.

A template support plan is available on the extranet.

A review meeting with the teacher will be held at the end of the support plan period to discuss progress and to explain whether the required improvements have been made. Review comments should be recorded on the support plan.

If the appraiser is satisfied that the teacher has made sufficient improvement, the appraisal process will continue as normal, with any remaining issues continuing to be addressed through that process.

If the teacher does not sustain these improvements, the appraiser will determine whether it is appropriate to implement another support plan or to move to the formal capability process. A copy of the capability policy is available on the extranet.

If appraisers have any queries regarding this process, they can contact the HR Advice and Support team for advice.

5.1 Transition to capability policy

The school's Capability Policy sets out the arrangements that will apply where a teacher falls below the levels of competence that are expected of them.

If a teacher demonstrates serious performance concerns that have been unable to be resolved through the appraisal process, the teacher will be notified in writing that the appraisal policy will no longer apply and that their performance will now be managed under the Capability Policy. At this point the teacher will be invited to a stage 1 capability performance meeting with the headteacher, or other appropriate person, to discuss the concerns.

In the case of performance concerns regarding a headteacher a performance management governor(s) would undertake the process as appraiser.

It is recommended that the HR Advice and Support team is contacted for advice regarding the process prior to moving a teacher onto the Capability Policy.

6 General principles underlying this policy

6.1 Confidentiality

The appraisal process will be treated with confidentiality and only shared with appropriate staff who input into the appraisal process. 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 policy.

Information gathered during the observation will be used, as appropriate, for a variety of purposes including informing on school self-evaluation and school improvement strategies in accordance with the school's commitment to streamlining data collection and minimising bureaucracy and workload burdens on teachers. Every step should be taken to ensure anonymity of staff concerned in the use of such data.

6.2 Consistency of treatment and fairness

The governing body is committed to ensuring consistency of treatment and fairness. It 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.

6.3 Definitions

Unless indicated otherwise, all references to "teacher" include the headteacher. Unless indicated otherwise, all references to "governing body" include committees, or individuals e.g. chair of governors/headteacher, who have been given delegated responsibility by the governing body.

6.4 Delegation

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

6.5 Monitoring and evaluation

The governing body will monitor the operation and effectiveness of the school's Teacher Appraisal Policy. This will include ensuring that the appraisal process minimises the impact on workload for all parties involved.

The school should have an appropriate moderation system in place to ensure consistent and fair treatment during the appraisal process. This system will ensure all appraisers are working to the same standards when setting objectives and assessing overall performance and that the Public Sector Equality Duty (section 149 of the Equality Act 2010) is fully met to ensure that discrimination does not occur. This may include the headteacher or an appropriate colleague moderating all, or a sample of, the performance objectives and pay recommendations for all teachers to ensure consistency of approach and expectation between different appraisers.

A summary of the DfE advice on responsibilities in appraisal and determining pay progression is available on the extranet or from the headteacher.

6.6 Retention

The governing body and headteacher will ensure that all written appraisal records are retained and stored in a secure place in line with the school's retention policy/procedures.



This policy has been developed by the HR Advice and Support team, based on current legislation and best practice. If you would like any advice on the application of this policy, please do not hesitate to contact the team:

Telephone	03000 266688
Email	hradvice@durham.gov.uk

Further support can be accessed by contacting (subject to SLA buy in):

Payroll and Employee Services	pesschools@durham.gov.uk
Occupational Health	occhealthadmin@durham.gov.uk
Health and Safety	hsteam@durham.gov.uk
Employee Assistance Programme	www.healthassuredeap.com Username: durham Password: council 0800 716017

Author	Version	Last review	Next review
MM	v 2.3	September 2020	September 2021

The school complies with all relevant statutory obligations. The school privacy notice provides more specific information on data collected and how it is handled, a copy of which can be accessed from the school. For more information please contact the school directly.

If you have any concerns about how your data is handled, please contact either the school Data Protection Officer (details available from the school office), or the Information Commissioner's Office.