

Model Appraisal Policy for Teachers and Headteachers

Introduction

Revised appraisal arrangements for teachers came into force from 1 September 2012. They are set out in the Education (School Teachers' Appraisal) (England) Regulations 2012 (the Appraisal Regulations) replacing the Education (School Teacher Performance Management) (England) Regulations 2006 (the 2006 Regulations).

The Appraisal Regulations do not apply to teachers and Headteacher in academies. However, it is good practice for all schools to have a system for managing the performance of staff and it is suggested that academies also adopt this model policy.

The Appraisal Regulations set out the principles that apply to teachers in all maintained schools and unattached teachers employed by a local authority, in each case where they are employed for one term or more. They retain the key elements of the 2006 Regulations but allow schools more freedom to design arrangements to suit their own individual circumstances. They provide the minimum national framework within which schools should operate.

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 such as equality legislation, employment protection and Data Protection.

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 has been developed from the model published by the Department for Education. It includes additional details where it is considered that these are helpful to the operation of an effective procedure. The Oxfordshire model policy has been drawn up following consultation with all the recognised Trade Unions and Associations.

This model policy applies only to teachers, including Headteachers.

This model Appraisal Policy has been revised to take account of changes to the School Teachers' Pay and Conditions Document 2018 and is in line with the Oxfordshire Model Pay Policy for Teachers September 2018.

General Principles

The role of the Local Authority for Community, Voluntary Controlled, Community Special and Maintained Nursery Schools

Throughout this procedure the Director for Children, Education & Families will discharge his responsibilities through the HR Business Partner for Children, Education and Families.

Definitions

The term “relevant body” has been used throughout this policy. In maintained schools this is the governing body. The differing structures of academies means that the Academy Trust will need to define the relevant body for the purposes of pay decisions. For centrally employed or unattached teachers the relevant body is the Local Authority.

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

Consistency of Treatment and Fairness

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

Delegation

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

Monitoring and Evaluation

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

Advice and guidance on any aspect of this policy is available from the school’s HR Adviser.

Appraisal Policy for Teachers and Headteachers

The Relevant Body of Cumnor CE School adopted this appraisal policy on 6th March 2019 following consultation with staff and representatives of the recognised trade unions.

It will review it in *3 years*

Purpose

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.
2. Pay progression for all teachers must be linked to performance. Where teachers are eligible for pay progression, the assessment of performance through the appraisal procedure will be the basis on which a recommendation is made and this will be in accordance with the School Teachers' Pay and Conditions Document 2018 ("the Document").
3. The appraisal procedure will be used also to address any concerns that are raised about a teacher's performance. If the concerns cannot be resolved through the appraisal process performance will be managed under the Professional Capability Procedure.

Application of the appraisal procedure

4. This procedure applies to the Headteacher and to all teachers employed by the school or local authority, except those on contracts of less than one term¹, those undergoing induction (i.e. Newly Qualified Teachers) and those who are subject to formal capability procedures.
5. 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.

The appraisal period

¹ One term refers to the three main terms of the school year as set out in Conditions of Service for School Teachers in England and Wales (the Burgundy Book).

6. The appraisal period will run for twelve months from 1 September to 31 August².
7. Teachers 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 appraisal period will be determined by the duration of their contract.
8. Teachers who start their employment part-way through the appraisal cycle will have their performance managed over a longer or shorter appraisal period as the head teacher determines most appropriate, with the aim of bringing them into line with the cycle for all other teachers as soon as possible.
9. If a teacher transfers to a new post within the school part-way through the appraisal cycle, or if a centrally employed teacher changes post within the authority, the head teacher will consider whether it is appropriate to continue with the current cycle and/or to revise the objectives in line with the new post.

Appointing appraisers

For the Headteacher

10. The Headteacher will be appraised by the Relevant Body, supported by a suitably skilled external adviser who has been appointed by the Relevant Body for that purpose.
11. In this school the task of appraising the Headteacher, including the setting of objectives, will be delegated to an appraisal sub-group consisting of two or three³ members of the Relevant Body.
12. Where a Headteacher is of the opinion that a member of the appraisal sub-group is unsuitable to act as his/her appraiser, he/she may submit a written request to the Chair of the Relevant Body for that person to be replaced, stating the reasons for the request.

For Teachers

13. The Headteacher will decide who will appraise other teachers. Where the head teacher decides to delegate appraisal to line managers, this will include all aspects of the process.

² The Relevant Body may decide a different cycle, it would also be possible to decide different cycles for teachers and the head teacher. Schools are required to carry out an annual review of pay for teachers. The Model Pay Policy includes deadlines for the annual review of 31 October for teachers and 31 December for the head teacher.

³ It is recommended that the appraisal sub-group should normally comprise of three members.

14. In this school the Headteacher has decided that: [Delete as appropriate] –

EITHER

- The Headteacher will be the appraiser for all teachers in the school.
 - The Headteacher will normally be the appraiser for those teachers she/he directly line manages and the relevant line manager will be the appraiser for those teachers who they line manage.
15. Where a teacher has more than one line manager the Headteacher will decide which line manager is best placed to be the appraiser.
16. Where a teacher is of the opinion that the person appointed is unsuitable to act as the appraiser, he/she may submit a written request to the Headteacher for the appraiser to be replaced, stating the reasons for the request.
17. All appraisers will receive appropriate training and guidance in these procedures.

Setting objectives

For the Head Teacher

18. Before, or as soon as practicable after the start of each appraisal period, the Relevant Body must inform the head teacher of the standards against which their performance will be assessed and set objectives for that period.
19. The headteacher's objectives will be set by the appraisal sub-group of the Relevant Body after consultation with the external adviser.
20. The appraisal sub-group and the head teacher will seek to agree the objectives but, if that is not possible, the appraisers will determine the objectives. Objectives may be revised if circumstances change.

For Teachers

21. Before, or as soon as practicable after the start of each appraisal period, the Headteacher must inform each teacher of the standards against which their performance will be assessed and ensure that objectives are set for that appraisal period.

22. All teachers must be assessed against the [Teachers' Standards](#) except for those who hold Qualified Teacher Learning and Skills status (QTLS)⁴. The *Teachers' Standards* can be found in Annex A. The Headteacher or Relevant 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.
23. Objectives for each teacher will be set before, or as soon as practicable after, the start of each appraisal period. The objectives set for each teacher, will be Specific, Measurable, Achievable, Realistic and Time-bound and will be appropriate to the teacher's role and level of experience. In setting objectives, the appraiser will have regard to what can reasonably be expected in the context of roles, responsibilities and experience, consistent with the school's strategy for achieving a work/life balance for all staff.
24. 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. The objectives should also support teachers' professional development.
25. In this school, all teachers, including the Headteacher, will normally have no more than three objectives.
26. The appraiser and teacher will seek to agree the objectives but, if that is not possible, the appraiser will determine the objectives. Objectives may be revised if circumstances change.
27. Objectives will be moderated across the school by the Headteacher to ensure that they are consistent between teachers with similar experience and levels of responsibility.

Pay progression

28. Where teachers are eligible for pay progression, the recommendation made by the appraiser will be based on the assessment of their performance against the relevant teacher standards and their agreed objectives. The decision made by the Relevant Body will be based on the criteria and guidance set out in the Pay Policy⁵. (NB – pay recommendations for teachers must be made by 31 October and for the Headteacher by 31 December).

⁴ For teachers who are qualified teachers by virtue of holding QTLS status, it is for the governing body or head teacher to decide which standards are most appropriate. Such teachers may be assessed against the Teachers' Standards, against any other sets of standards issued by the Secretary of State, against any other professional standards relevant to their performance or any combination of those three.

⁵ Please refer to the Oxfordshire model Pay Policy for Teachers.

Reviewing performance

Observation

29. This school believes that observation of classroom practice and other responsibilities is important in assessing teachers' performance in order to identify particular strengths; areas for development and to gain useful information which can inform school improvement more generally.
30. In this school, teachers' performance will be regularly observed but the amount and type of classroom observation will depend on the individual circumstances of the teacher and the overall needs of the school. All observation will be carried out in a supportive way and in line with the school's Classroom Observation Protocol⁶.
31. Classroom observation for the purpose of appraisal will only be carried out by those with Qualified Teacher Status (QTS).
32. In addition to formal observation for the purposes of appraisal, Headteacher or other leaders with responsibility for teaching standards may "drop in" in order to evaluate the standards of teaching and to check that high standards of professional performance are established and maintained. The length and frequency of "drop in" observations will vary depending on specific circumstances and will be carried out in line with the school's Classroom Observation Protocol.
33. Teachers (including the head teacher) who have responsibilities outside the classroom should also expect to have their performance of those responsibilities observed and assessed.

Feedback

34. 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.

Development and support

35. 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 on-going professional development needs and priorities of individual teachers.

⁶ It is recommended that all schools should have a Classroom Observation Protocol. A model protocol is provided in Annex B.

36. The school's continuing development (CPD) programme will be informed by the professional development needs identified as part of the appraisal process. The Relevant Body will ensure that, as far as possible, resources are made available in the school budget for appropriate training and support agreed through the appraisal process.

Assessment

37. Each teacher's performance will be formally assessed in respect of each appraisal period. In assessing the performance of the head teacher, the Relevant Body must consult the external adviser.
38. 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 (e.g. *three times a year*).
39. 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. In this school, teachers will receive their written appraisal reports by 31 October (31 December for the head teacher). The appraisal report will include:
- details of the teacher's objectives for the appraisal period;
 - an assessment of the teacher's performance of their role and responsibilities against the relevant standards. Where the standards are being met detailed written evidence will not normally be required. However, if there are concerns that standards are not being met these should be evidenced;
 - an assessment of the teacher's performance of their role and responsibilities against their objectives;
 - 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;
 - a space for the teacher's comments.
40. A review meeting will take place to discuss the content of the written appraisal report and any action required, and to inform objective setting for the next cycle. The assessment of performance and of professional development needs will inform the planning process for the following appraisal period.

Appeals

41. Teachers have a right of appeal against any of the entries in their written appraisal report. If a teacher feels that an entry is wrong or unjust, they may appeal in writing within five working days of receiving their written appraisal report, setting out at the same time the grounds for appeal. Where a teacher wishes to appeal on the basis of more than one entry this would constitute one appeal hearing.
42. If the reason for appeal is associated with a decision on pay progression the appeal process in the School's Pay Policy should be followed.
43. In all other cases the appeal will be considered by a senior manager or an individual member of the relevant body who has not been previously involved with the case. Appeals will be heard without unreasonable delay and, where possible, at an agreed time and place. The teacher will be given at least five working days' notice of the date of the hearing and has the right to be accompanied by a trade union representative or a work colleague. Notes will be taken and a copy sent to the employee.
44. Appeals should normally be restricted to considering the reasonableness of the decision made, any relevant new evidence or any procedural irregularities.
45. The employee will be informed in writing of the results of the appeal hearing within three working days of the date of the hearing.

Confidentiality

46. The appraisal process and the written appraisal report will be confidential. However, confidentiality does not override the need for the Headteacher and relevant body to quality-assure the operation and effectiveness of the appraisal system. *Schools to say here how they might achieve this, for example, the Headteacher will provide the relevant body with a written report on the operation and impact of the school's appraisal policy annually.*

Record Retention

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

Concerns about a teacher's performance – Structured Managerial Support

48. Where there are concerns about any aspects of a teacher's performance at any time during the year, the appraiser will, as part of the appraisal process, meet the teacher to arrange the provision of structured managerial support:
The Appraiser will:
- 49.
- give clear feedback about the nature and seriousness of the concerns;
 - give them the opportunity to comment on and discuss the concerns;
 - agree any support e.g. coaching, mentoring, structured observations, that will be provided to 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.
50. The teacher should be advised, in advance, of the nature and purpose of the meeting and given the opportunity to bring a union representative or work colleague to the meeting, if they wish.
51. Notes will be taken of the meeting and a copy given to the member of staff within three working days of the meeting, including where appropriate an action plan setting out the structured managerial support.
52. The teacher's progress will continue to be monitored as part of the appraisal process. It may be appropriate to revise objectives. It will be necessary to allow sufficient time for improvement; this will depend on the circumstances but will normally be for a period of not less than four to six working weeks⁷.
53. 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.
54. 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 Professional Capability Procedure. He/she will be invited to a "Formal capability meeting" under this Procedure.
55. Full details of the procedure to be followed are contained in a separate Professional Capability Procedure.

⁷ It is for the person conducting the meeting to determine the set period which should be between four and ten working weeks. It should be reasonable and proportionate and should provide sufficient opportunity for an improvement to take place.

Further advice and support is available from the School's HR Adviser.

Other relevant policies and procedures

[Professional Capability Procedure](#)

[Pay Policy for Teachers](#)

September 2013 (Updated September 2018)