

Torfield and Saxon Mount Academy Trust



Appraisal Policy

December 2021

Appraisal Policy for the Federation of Torfield and Saxon Mount Schools

Date: December 2021

Document summary

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

(OPTIONAL – This policy also applies to managing the performance of all support staff).

This policy sits alongside the [Model Capability Procedure for Schools and Appendix 1 and 2 of this Policy](#).

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Text in italics does not form part of the policy itself, but acts as additional advice for schools

1. Introduction

- 1.1. The 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).
- 1.1. 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 and say nothing, or very little, on many subjects on which the 2006 Regulations made detailed provision. If they wish, schools may include in their own policies details that are no longer covered by the Appraisal Regulations.
- 1.2. Schools and local authorities must stay within the legal framework set out in the Appraisal Regulations and in other relevant legislation that affects all employers (for example legislation on equality, employment protection and data protection).
- 1.3. Schools and local authorities must have an appraisal policy for teachers and a policy, covering all staff, which deals with lack of capability. The ESCC model policy is based on the DfE model policy which applies only to teachers (including Headteachers), however the ESCC model policy sits alongside policies that are in place for support staff and schools may wish to insert the details of the school's own appraisal or performance management scheme for support staff (i.e. Performance Management Policy (Support Staff)). The policy has been written in the context of schools, but the same principles apply to unattached teachers.
- 1.4. It is good practice for schools to consult staff/union representatives on their appraisal and capability policies. Trade unions have taken part in the consultation process and have contributed to both the model appraisal and the model capability policies.
- 1.5. This model policy reflects the 2012 Appraisal Regulations and replaces the Model Performance Management Policy & Classroom Observation Protocol which was introduced to support the 2006 Regulations. This version of the model policy has been updated in 2015 to reflect recent changes to teachers' pay as set out in the STPCD.
- 1.6. *Text in italics* does not form part of the policy itself, but acts as additional advice for schools.
- 1.7. This policy should be read in conjunction with the separate Capability Policy and Procedure which sets out the procedure to be followed where there are serious concerns about a member of staff's performance that the appraisal process has been unable to address.

2. Model Appraisal Policy for Schools

The Governing Body of Torfield and Saxon Mount Academy Trust Schools adopted this policy on 10th December 2021. It will be reviewed annually.

3. Application of the Policy

- 3.1 This policy applies to the Executive Headteacher and to all teachers employed by the school, except those on contracts of less than one term, those undergoing induction (i.e. ECT's) and those who are subject to [Capability Procedure](#).
- 3.1. This policy also applies to all support staff although separate appraisal procedures apply to non-teaching staff.

4. Appraisal

- 4.1 Appraisal in the Federation schools 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.
- 4.1. Teachers are obliged to:
- engage with appraisal; this includes working with their appraiser to ensure that there is a secure evidence base in order for an annual pay determination to be made;
 - keep records of their objectives and review them throughout the appraisal process; share any evidence they consider relevant with their appraiser;
 - ensure they have an annual review of their performance.

5. The appraisal period

- 5.1 The appraisal period will run for twelve months from 1st November to 31st October. For other support staff, the period will be a 12-month cycle but could run from different starting points.
- 5.1. 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. Each case will be dealt with on an individual basis.
- 5.2. There is flexibility to have a longer or shorter appraisal period when teachers begin or end employment with a school or when unattached teachers change post within the same authority.
- 5.3. For the purposes of accessing the upper pay range and for progression on the upper pay range you should refer to the School Teachers Pay & Conditions Document (STPCD).

6. Appointing Appraisers

- 6.1 The Executive Headteacher 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. In this school the task of appraising the Executive Headteacher, including the setting of objectives, will be delegated to a sub-group consisting of at least two and up to three members of the Governing Body.

- 6.2. Where the Executive Headteacher is of the opinion that any of the governors appointed by the governing body is unsuitable to act as his/ her appraiser, s/he may submit a written request to the chair of the governing body for that governor to be replaced, stating the reasons for the request.
- 6.3. The Executive Headteacher will appraise the Headteacher of each school and the Director of Finance and resources and report performance recommendations to the Board of Trustees
- 6.4. The Headteacher will decide who will appraise other teachers & staff, in consultation with the Executive Headteacher

7. Setting Objectives

- 7.1. Executive Headteacher 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. In setting objectives, the appraiser will consider what can reasonably be expected in the context of roles responsibilities and experience and consistent with the school's strategy for achieving a work/life balance for all staff. The appraiser will take into account the effects of an individual's disability when setting objectives. 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.
- 7.3. The objectives set for each teacher/ support staff member will, if achieved, contribute to the school's plans for improving the school's educational provision and performance and improving the education of pupils at that school. This will be ensured by quality assuring all objectives against the school improvement plan. If a teacher's line manager(s) is not his/her assessor, the line manager can see the teacher's objectives.
- 7.4. Before, or as soon as practicable after, the start of each appraisal period, each teacher will be informed of the standards against which that teacher's performance in that appraisal period will be assessed. All teachers must be assessed against the set of standards contained in the document called "Teachers' Standards" published in July 2011 and subsequently updated. The head teacher 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.
- 7.5. For teachers who are qualified teachers by virtue of holding QTLS status, it is for the governing body or Executive Headteacher 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. Schools may also be using effective in-house CPD programmes to develop improved practice.

8. Reviewing Performance: Observation

- This Federation of schools 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, developmental fashion, taking account of the following:
- The Governing Body is committed to ensuring that the amount of observation for each teacher should be appropriate, reasonable and proportionate to the needs of the individual. In this regard, 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.
- Where concerns emerge about a teacher's performance during the cycle, additional classroom observations may be arranged.
- In keeping with the Governing Body's commitment that classroom observation should be both supportive and developmental; those being observed will, wherever possible, be notified at least 3-5 working days in advance of the time and date of the observation. Every effort will be made for an observation to occur at the agreed time. In order to support and inform the process, lesson plans using a template format determined by the Headteacher in consultation with the Executive Headteacher will be used by the teacher for each formal lesson observation.
- Classroom observations of teachers for appraisal purposes will be undertaken by persons with QTS.
- Oral feedback will be given as soon as possible after the observation and written feedback will be provided within 5 working days, wherever possible. Feedback will acknowledge good and outstanding performance and highlight particular areas of strength as well as any areas that need attention. If issues emerged from an observation that were not part of the focus of the observation, these may also be covered in the written feedback and the appropriate action taken. Oral feedback will be given during directed time in a suitable, private environment.

For on-going monitoring purposes

- A Headteacher has a duty to evaluate the standards of teaching and learning and to ensure that proper standards of professional performance are established and maintained throughout the school. Headteachers have a right to drop in to classrooms to inform their monitoring of the quality of learning throughout the school. The length and frequency of "drop ins" will vary depending on specific circumstances. Drop ins can be delegated to senior leaders and relevant subject leaders.
- Learning walks and other short visits such as drop ins may take place in order to collect evidence about teaching and learning, evidence of progress and areas for school development. Learning walks and drop ins will only inform the appraisal process where evidence arises which merits the revision of the appraisal planning statement.

- 8.1. In this federation, teachers' performance will be regularly observed, usually at least 3 times per year, but the exact amount and type of classroom observation will depend on the individual circumstances of the teacher and the overall needs of the school.

8.2. Teachers who have responsibilities outside the classroom should also expect to have their performance of those responsibilities observed and assessed.

9. Development and Support

9.1 Appraisal is a supportive process which will be used to inform continuing professional development. The Trust 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.

10. Feedback

10.1 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 acknowledge good and outstanding performance and highlight particular areas of strength as well as any areas that need attention.

10.2 If at any point during the usual appraisal cycle concerns arise about any aspect of a teacher's performance, the appraiser will invite the teacher in writing to meet with the teacher formally to:

- give clear feedback to the teacher about the nature and seriousness of the concerns;
- give the teacher the opportunity to comment 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, and by when, the appraiser will review progress (it may be appropriate to revise objectives, and it will be necessary to allow sufficient time for improvement, although the actual time will depend on the individual circumstances. The amount of time is will be determined by the Executive Headteacher or delegated manger but should reflect the seriousness of the concerns);
- explain the implications and process if no, or insufficient improvement is made.

10.3 A written summary of the meeting should be sent to the teacher following the meeting covering all the above points.

10.4 The Headteacher or designated senior leader should consider contacting Personnel and Training for advice when a teacher's performance is of cause for concern. Where concern is being raised in accordance with paragraph 9.2 above in relation to a staff member who is a trade union representative, it is advisable to consult with Personnel and Training to raise the matter with a senior trade union representative or full-time official.

10.5 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.

11. Transition to the capability procedure

11.1 If the appraiser is not satisfied with the progress in the focused support period agreed, 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 teacher will then be invited to a formal capability meeting.

12. Annual Assessment

- 12.1 Each teacher's performance will be formally assessed in respect of each appraisal period. In assessing the performance of the Executive Headteacher, the Governing Body must consult the external adviser.
- 12.2 This assessment is the end point to the annual appraisal process, but performance and development priorities will be reviewed and addressed on a regular basis throughout the year in interim meetings which will take place usually within six months of the initial target setting meeting.
- 12.3 The teacher will receive as soon as practicable following the end of each appraisal period and have the opportunity to comment in writing on a written appraisal report. In this school, teachers will receive their written appraisal reports by 31 October (31 December for the Executive Headteacher and Headteachers). 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 the relevant standards;
 - an assessment/identification of the teacher's professional development needs and identification of any action that should be taken to address them;
 - a recommendation on pay where that is relevant (NB – pay recommendations need to be made by 31 December for head teachers and those on the Leadership scale and by 31 October for other teachers);
- 12.4 The assessment of performance and of professional development needs will inform the planning process for the following appraisal period. Support staff appraisal will model teacher appraisal in that an annual review and target setting meeting will be held and at least one mid-year review meeting will be scheduled. Observation of teaching assistants will occur from time to time and outcomes of this will inform the appraisal process.
- ## **13. Pay progression linked to performance**
- 13.1. The relevant body (Executive Headteacher) must consider annually whether or not to increase the salary of teachers who have completed a year of employment since the previous annual pay determination and, if so, to what salary within the relevant pay ranges.
- 13.2 The decision, whether or not to award pay progression, must be related to a teacher's performance. A pay recommendation must be made in writing as part of a teacher's annual appraisal report. Continued good performance, as defined by an individual school's pay policy, should give a classroom or an unqualified teacher an expectation of progression to the top of their respective pay ranges. A decision may be made not to award pay progression, whether or not the teacher is subject to capability proceedings, however teachers must be informed in writing about concerns regarding their standards of performance in the course of the annual appraisal cycle which have not been sufficiently addressed.

- 13.3 The relevant body must set out clearly in the school's pay policy how pay progression will be determined. The Executive Head teacher will be responsible for ensuring that appropriate arrangements are put in place to support the links between performance and pay and that rates of pay progression are affordable and comply with prevailing legislation (e.g. Equal Pay).
- 13.4 Where teachers are eligible for pay progression, the recommendation made by the appraiser will be based on an assessment of performance against agreed performance objectives. The decision made by the relevant decision-making body will be based on the statutory criteria and guidance set out in the STPCD and the relevant teacher standards.
- 13.5 To move up the main pay range, in accordance with the pay policy, teachers will need to have made good progress towards achieving their objectives and have demonstrated that they are fully competent in all elements of the Teachers' Standards. Teaching should be at least 'good', as defined by Ofsted.
- 13.6 If the overall appraisal evidence shows that a teacher has demonstrated exceptional performance, the governing body may consider awarding enhanced pay progression. Teaching should be 'outstanding', as defined by Ofsted.
- 13.7 Teachers will work with their appraisers to ensure that there is sufficient evidence to support pay recommendations. Teachers will also keep records of objectives and review them throughout the appraisal period.
- 13.8 Progression to the Upper pay range for Teachers will be in compliance with the Trusts Pay policy using the relevant application form – Appendix 1 in the Pay policy.

Appendix 1 Joint Statement of Principles on Teacher Appraisal and Capability

- This statement is produced by the ASCL, ATL, NAHT and NUT
- Appraisal is a thorough yet supportive and developmental process which assists teachers in improving their performance by concentrating on key objectives and must include open and honest discussions between the appraiser and the appraisee;
- The above unions believe that schools should have separate appraisal and capability policies in order to facilitate the discussions needed to ensure the effectiveness of the appraisal process in managing performance. Capability procedures would not normally commence until it is clear that it is necessary, following on from the appraisal process;
- Objectives should be set following consultation with teachers and should be clearly defined, with appraisers and appraisees clear what success will look like and how progress will be measured;
- Observation for appraisal should be planned, with sufficient notice given and a clear focus linked to agreed objectives;
- Feedback should be given swiftly after any observation;
- Observation should be kept to the minimum needed to determine that objectives are met and in accordance with local agreements;
- Implication of insufficient progress should be clearly explained to the teacher;
- Where concerns are raised the teacher will receive appropriate support as part of the appraisal process. The support to be offered will be agreed in advance and may include classroom observation alongside other support for example additional training and visits to other classes. The length of any period of support will be subject to locally agreed protocols;
- If after the period of support sufficient progress has not been made, then the school may consider moving to capability. A clear distinction must be made when the teacher moves from the supportive appraisal process to capability;
- The DfE capability model should not be used for capability concerns arising as a result of ill-health (schools must have a separate policy for this);
- Care will be taken to ensure that appraisal and capability procedures are used in such a way as to avoid discrimination, with monitoring for equality purposes.