



TEACHER PERFORMANCE APPRAISAL GUIDANCE

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PART 1 - Introduction

Introduction

This document sets out guidance for the appraisal scheme for teachers. It is based on the Model Policy for Appraising and Managing Teacher Performance produced by the Department for Education in 2012.

Part 2 of this document covers the appraisal scheme for teachers, providing a guide for a cycle of annual appraisal with target setting and reviews designed to maintain and improve the quality of teaching.

The contents of this guide have been discussed and agreed with recognised Teacher unions and is presented as a model for schools to use. However schools are free to design their own appraisal scheme provided it meets the requirements set out in the Education (School Teachers' Appraisal) (England) Regulations 2012.

1. Purpose and Scope

1.1 The **purpose** of an appraisal scheme is to ensure that:

- there is a clear and consistent assessment of overall performance for all teachers;
- the development of every teacher is planned and supported;
- every teacher is focused on the school improvement plan; and
- every teacher is aware of and working to the Teacher Standards.

1.2 When setting, monitoring and supporting targets care must be taken to see that support is positive and realistic and that monitoring does not create excessive burdens or contribute to any difficulties being experienced by the teacher.

1.3 The **scope** of this guidance extends to all teachers, Headteachers, Deputy Heads, Assistant Heads, as well as teachers on secondment to other schools and centrally employed teachers.

1.4 The appraisal scheme does not apply to NQTs undergoing induction, those undergoing formal performance capability procedures, and employees on a contract of less than one term.

2. Glossary/Definitions

2.1 **Working weeks** - a period of five school working days including INSET but excluding weekends, Public Holidays, half term, Easter, Christmas or summer vacations.

- 2.2 **Working days** - school working days including INSET but excluding weekends, Public Holidays, half term, Easter, Christmas or summer vacations.
- 2.3 **Objective** - a target set to improve or maintain performance and/or personal development.
- 2.4 **Standards** - refers to the Teacher Standards published in July 2011. Certain teachers may also be assessed against other sets of relevant standards published by the Secretary of State, or any other relevant professional standards.

3. Key Principles

a) **Management Support.**

All matters relating to teacher performance and capability should take place within a framework of a positive programme of management support and a clear statement of monitoring and review arrangements. The types of activity, which might be covered, are detailed at **Appendix A**.

While the implementation of appraisal procedures, under Local Management of Schools, will remain a matter for the Headteacher (and ultimately the Governing Body), the LA will provide detailed guidance and professional advice to schools where required.

b) **Identification of problems.**

It is good management practice that performance capability issues should be identified and discussed with the individual at the earliest opportunity. The appraisal scheme and cycle, with the supervision and ongoing review enshrined within it, is the first opportunity to identify and discuss poor performance, and provide the support for improvement.

Where performance problems persist, the school's procedures to manage performance capability can be used.

c) **Job Descriptions.**

During the appraisal cycle, objectives, and reviews should link back to the job description and person specification of the teacher concerned. The appraisal review meeting is an opportunity to ensure the job description is correct and up to date, and can allow for updates to happen with open discussion and agreement.

4. Sickness

- 4.1 If long term sickness absence appears to have been triggered by the commencement of monitoring, the case will be dealt with in accordance with the school's ill health capability policy and will

normally be referred to the Occupational Health service to assess the teacher's health and fitness for continued employment and the appropriateness or otherwise of continuing with monitoring. The views of the Occupational Health physician will be taken into account before a decision is reached.

5. Review of Scheme

- 5.1 Governing Bodies and Headteachers should monitor and review the use and effectiveness of the appraisal scheme to ensure it is fairly applied, is supportive of staff development needs, and is tied into the development needs of the school.

PART 2

TEACHER APPRAISAL SCHEME GUIDANCE

1. Introduction

- 1.1 The Governing Body are required to have an appraisal scheme in place, and are responsible for ensuring appraisals are carried out. In practice the monitoring of appraisals is likely to be delegated to the Headteacher with the Governing Body receiving updates at appropriate points in the year.
- 1.2 The appraisal scheme and process must be made available to teachers.
- 1.3 The appraisal scheme does not apply to NQTs undergoing their induction year, nor does it apply to a teacher undergoing formal capability procedures, or to supply teachers, or to teachers employed for less than one term.
- 1.4 This guide covers the arrangements set out in the Education (School Teachers' Appraisal) (England) Regulations 2012. It is also set out to encompass other relevant legislation such as that covering equality, employment protection and data protection.

2. The Appraisal Cycle

- 2.1 The appraisal cycle will run for twelve months, incorporating the setting and review of objectives each year. The timing of the cycle is to be determined within the individual school, and needs to be responsive to the natural cycle of education delivery and the objectives that will be set to support this. It is likely that the academic year will inform the appraisal cycle. All teachers should be informed of the agreed cycle they will be working to.
- 2.2 If a teacher joins the school part way through the appraisal cycle the most appropriate arrangement will be to either start a shortened appraisal cycle or a longer one, so that the teacher slots into the established cycle in the school as soon as is practicable.
- 2.3 A teacher leaving before a cycle is completed should have a review of performance completed up to the date of leaving, and an appraisal report prepared, in order to close the cycle and give the teacher a report to take on to their next school.
- 2.4 If the appraiser leaves there will need to be adequate handover to the new appraiser so that the appraisee(s) continue to be supported and developed. The same will apply where the appraiser is absent for an extended period of time.
- 2.5 Teachers who are employed on a fixed term contract of less than one year will have their performance managed in accordance with the principles set out in this policy. The length of the cycle will be determined by the duration of their contract of employment. There

should be no detriment in terms of personal development for a member of staff on a fixed term contract.

3. Appointment of Appraisers

- 3.1 The appraiser for any member of teaching staff below the Headteacher will normally be the line manager of that teacher. The number of appraisers will be determined by the size of the school and the staff structure in operation.
- 3.2 The Headteacher is responsible for appointing the appraisers and should ensure they are equipped to carry out the role, as well as ensuring appraisals do happen and they are of the required quality. Any member of staff acting as an appraiser must hold qualified teacher status.
- 3.3 The Headteacher will be appraised by the Governing Body, supported by an external adviser. The Governing Body may wish to nominate a sub-group of two or three Governors to carry out the appraisal and set objectives on their behalf. The external adviser should be suitably qualified and experienced and may be an officer from the LA, or from a school or other organisation the school works with.
- 3.4 A list of appointed appraisers should be signed off by the Headteacher and kept up to date.

4. Objective Setting

- 4.1 Within the appraisal cycle, objectives are set for the coming year, reviewed and supported throughout the year, and then subject to a final review at the end of the year before setting the next year's objectives.
- 4.2 The objectives agreed with each appraisee will contribute to the school's plans for school improvement and improving pupil progress, will address their own developmental needs, and will be informed by the Teaching Standards. This will be ensured by linking the objectives back to the school improvement plan so that it is clear how the teacher will be supporting the plan and to the performance of the teacher against their targets the previous year or to any performance concerns that may have been identified.
- 4.3 If a significant change occurs during the appraisal period, such as a change of role, or a change in school improvement priorities, it may be appropriate to adjust objectives to suit, even if this happens mid-way through the appraisal cycle.
- 4.4 The Headteacher is also responsible for ensuring that the objectives being set are appropriate for the development needs of the school, are consistent in achieving improvement, and are suitable for the

experience and level of the teacher who will be working towards them.

- 4.5 The Governing Body are responsible for setting objectives for the Headteacher, after consultation with the external adviser, again linking these to the school improvement plan and the development needs of the Headteacher.
- 4.6 The objectives set for each appraisee must be SMART, that is - Specific, Measurable, Achievable, Realistic, and Time-bound. The appraiser and appraisee will seek to agree the objectives but, if this is not possible, the appraiser will determine the objectives. Objectives will be set before, or as soon as practicable after, the start of each appraisal period, and communicated to the teacher.
- 4.7 Three objectives should be adequate to ensure school improvement plan objectives, work to raise/maintain teaching standards, and the teacher's own personal development are covered. The number and content of each objective should be challenging but not detrimental to the performance, working hours, or well-being of the teacher.

5. Reviewing Performance

- 5.1 Performance can be monitored and reviewed through a number of means:
 - Observation
 - Scrutiny of planning and/or pupils' work
 - Outcomes of pupil performance
 - Feedback
 - Supervision meetings
 - The appraisal meeting
- 5.2 **Observation** - This includes, but is not limited to, classroom observation. When reviewing teaching practice classroom observation is a valuable tool and is a planned formal observation session carried out by someone with QTS. Additionally, the Headteacher or other senior staff with responsibility for teaching standards may "drop in" to the class. In either case the aim should always be to evaluate the standards of teaching and learning, and to check that high standards of professional performance are established and maintained.
- 5.3 Feedback must always be given to the appraisee, based on the observations made, and should be given within one day of the observation. Feedback should be constructive, honest and fair, is confidential, and should allow for discussion of the observations made.

- 5.4 Planned observations should be carried out with notice wherever possible, with three working days being the suggested notice period. Ofsted criteria provide a useful frame within which to assess performance, but a teacher's developmental needs can also be supported.
- 5.5 Formal classroom observation, and drop ins, should not be used excessively. The number and frequency of observations is not defined - it should be commensurate with the needs of the appraisee and of the school, and should not become over-bearing and intrusive.
- 5.6 As a guide there should be three formal observations in any appraisal cycle, however this can be adjusted if there are concerns about the teacher's performance that warrant more frequent observation. Again as a guide, there should be three drop-ins in any appraisal cycle unless there are concerns.
- 5.7 The purpose of observation, and how it will be carried out, should be explained to the appraisee. If there are concerns the teacher should be made aware of these along with what will happen to address the concerns, which beyond observation should include measures of support.
- 5.8 Appraisees who have responsibilities outside the classroom should also have these responsibilities observed and assessed, in an appropriate manner.
- 5.9 **Feedback** - Feedback should be given to the appraisee throughout the year, and especially following any review meetings, observations or drop-ins, so that the teacher is always clear on progress against the objectives, and any concerns. Training and development can also be monitored in this way. Key points in the school year may also be a good point for feedback, including assessing pupil results, team reviews, etc.
- 5.10 Feedback should be honest and constructive, and should encourage a two-way discussion between the appraiser and appraisee over progress. The appraisee should have the opportunity to raise any concerns or barriers to meeting objectives as well as being able to discuss successes.
- 5.11 Where there are concerns about any aspect of performance the appraiser will meet the teacher to give clear feedback about the nature and seriousness of the concerns, give an opportunity for open discussion with the teacher, identify and agree the required support, set a review period and agree how progress will be reviewed, and explain the implications if required performance levels are not met.
- 5.12 Such a meeting will not constitute formal action under the school's Teacher Capability (Performance) Procedure. It is targeted action

within the appraisal cycle to support and improve performance, hopefully eliminating the need to take any formal action.

- 5.13 The appraisal process will be used to support continued improvement. Only cases of ongoing poor performance that do not respond to informal support through the appraisal process will be referred on to the formal capability procedure.
- 5.14 **Supervision Meetings** - Supervision meetings should occur between a teacher and their line manager on a regular basis, and will help facilitate the feedback described above.
- 5.15 Supervision meetings may also be the route by which performance concerns are first identified and, if this is the case, should be used to discuss and understand the issues, and to set and review targets on an informal basis, with appropriate support (see under Feedback above and see appendix A for suggestions for support).
- 5.16 Efforts should be made at this stage to bring performance up to the required level using review periods and clear expectations of the required level of performance. More frequent meetings may be required to monitor progress and to measure the impact of support interventions.
- 5.17 **The Appraisal Meeting** - At the end of the appraisal cycle each appraisee's performance will be formally assessed. The meeting marks the end of the previous year's cycle and objectives, and starts the planning of objectives for the next year.
- 5.18 The appraisal meeting should cover a review of the previous year's objectives, and the progress made towards meeting them. Successes must be noted, as well as any objectives that have not been met. It is important to identify why an objective has not been met - it may be down to the performance of the teacher, but equally it could be due to circumstances beyond the appraisee's control.
- 5.19 Objectives for the next year should be discussed and agreed, and any training or development needed to support this should also be identified.
- 5.20 For the Headteacher's appraisal, the nominated Governors must consult with their external adviser in reviewing the objectives of the Headteacher, and setting new ones for the coming year.

6. Appraisal Report

- 6.1 The appraiser is then responsible for writing an Appraisal Report which needs to be agreed by the appraisee - any comments need to be resolved or noted. The appraisal report will include:

- Details of the teacher’s objectives and required performance in the year just gone;
 - An assessment of the teacher’s performance against their objectives for the relevant, having regard to their job description/role in the school;
 - A determination of the teacher’s training and development needs and the actions that will be taken to address them;
 - A recommendation on pay, where there is headroom for progression;
 - Set out the objectives for the coming year, including the objective itself, the expected level of performance, and how it links to the school improvement plan and the teacher’s own developmental needs;
 - A space for the teacher’s own comments.
- 6.2 Progress reviews throughout the previous year will inform both the appraisal meeting and the appraisal report. It is recommended that the appraiser and teacher sign the final agreed appraisal report so that both parties have committed to it.
- 6.3 The teacher should know and understand their objectives for the coming year before, or very soon after, the start of the appraisal year. This may initially be verbally after the appraisal review meeting discussion, and will be quickly followed up by the Appraisal Report.

7. Pay Progression

- 7.1 Decisions around pay progression, where there is headroom to move, must be based on :
- the assessment of performance against last year’s standards and objectives;
 - the provisions of the School Teachers’ Pay and Conditions Document
 - the provisions of the school’s pay policy.
- 7.2 Pay progression decisions for Headteachers should be made by 31 December, and for all other teachers by 31 October, to avoid unnecessary delays.
- 7.3 If a decision is taken to not award incremental progression, the teacher can appeal that decision by writing to the Headteacher or, if the Headteacher is submitting the appeal, to the Chair of Governors, asking for the decision to be reviewed. That review will revisit the appraisal report and will involve a discussion with the teacher, and their appraiser (separately) to determine the reasons behind the decision and why the teacher wishes to challenge this.
- 7.4 The outcome of the appeal will be final.

- 7.5 If the teacher is absent for a significant period of the appraisal year, an assessment will need to be made of performance in the previous year and the general “direction of travel” of their performance. An increment should not be unreasonably withheld.

8. Training, Development and Support

- 8.1 All teachers should be encouraged to undertake continuing professional development that is linked to school improvement plans as well as their own individual career and performance development needs.
- 8.2 Any teacher undergoing training should be supported in applying their new skills in the school.

9. Quality Assurance and Confidentiality

- 9.1 The Governing Body or, through delegation to the Headteacher, should take an active role in ensuring that appraisals take place as planned and intended, that the objectives being set are appropriate and consistent, and that staff are receiving the training and development needed to support their objectives. Fairness and effectiveness must be reviewed.
- 9.2 Quality assurance can be achieved through checking all, or a sample of, the appraisal reports completed in the school. Staff should be made aware of the method of quality checking to be employed.
- 9.3 Appraisals, review meetings, observation feedback and any improvement plans are confidential between the appraiser and teacher, except that the Headteacher/Governing Body may wish to review appraisals for quality assurance purposes or to deal with a pay progression appeal. All notes and appraisal reports will be kept securely.
- 9.4 The two most recent appraisals for a teacher can be made available, on request, to any other school to which the teacher has applied to work.

10. The continuing cycle

- 10.1 The annual cycle of appraisals will support schools in achieving continual improvement and development, and will support individual teachers in doing the same.
- 10.2 The performance a teacher is expected to achieve is clearly expressed and any support, guidance or training needed by any individual teacher can be provided as part of the appraisal and review process. The same applies to objectives set as part of the cycle.

- 10.3 For the majority of teachers there will be year on year skill, competence and career development to the benefit of both the individual teacher and the school in which they work.
- 10.4 The appraisal and review cycle should also be used to support any areas of under-performance with a view to bringing performance up to standard in an informal but structured way.

11. Sustained Poor Performance

- 11.1 Where the appraisal scheme itself has not encouraged an improvement in performance in the first instance the appraiser will meet with the teacher to explore the concerns.
- 11.2 A decision must then be taken, in consultation with the Headteacher, whether to move into using the schools procedure for addressing capability: poor performance.

Appendix A

SUPPORT PROGRAMME GUIDANCE

The nature of a programme of support to improve performance will vary from case to case, depending upon the difficulties faced by the individual, the amount of support required, and the circumstances of the school and its resources. What follows is a general guide, which must be adapted to meet the individual needs of each situation.

In devising a programme the general aim should be to provide as much support as possible initially, reducing it as the programme continues. It must be possible at the end of the period to assess the teacher's capabilities unclouded by any special help.

The content of the programme could include one or more of:

- in-service training,
- help with planning, preparation, content of work and any follow-up,
- observation by the teacher of good practice,
- observation of the teacher's work by someone (either from the school or outside) with appropriate experience and that such observation be promptly fed back to the teacher,
- a modified workload or timetable for a specified period,
- re-organisation of work area, classes or rooms,
- work-sharing or team teaching with experienced persons,
- visits to other schools or workplaces,
- temporary attachment to another school or workplace,
- a mentoring arrangement to the teacher concerned. This is particularly recommended where practical and would involve a suitable person acting as a confidential mentor to the teacher concerned.

Wherever and whenever possible and practical, there will be merit in inviting an independent and external person to assess and assist the teacher concerned.

The person who monitors the teacher's performance should be someone with experience and responsibility. They will need to exercise and encourage a constructive approach to improvement; the person may be the line manager/appraiser or the Headteacher. In large schools deputies and heads of department or faculties, and others charged with the responsibility for staff, should have a key role.