



# **Teacher Appraisal Policy**

**September 2014**

**Procedure for schools based and centrally employed teachers**

**Stoke on Trent City Council Issued: September 2014**

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Concerns about Performance

## **Glossary:**

This procedure applies to both school based and centrally employed teachers. Unless otherwise indicated the following terms are interchangeable

School – includes schools that are known as college or academy

Teacher – applies to Qualified teachers both those in schools and centrally employed

Headteacher – applies to Headteacher (Principal) or Line Manager

Governors – applies to members of the school's Governing Body or Directors or in the case of centrally employed teachers a relevant Strategic Manager

Appeal Governors – applies to members of the schools Governing Body or in the case of centrally employed teachers a relevant Assistant Director.

## **1.0 Introduction**

1.1 This procedure has been adopted by the Governing Body/Board of Directors of Watermill School on 20<sup>th</sup> November 2014 for the purpose of managing Teacher Appraisal

## **2.0 Principles**

2.1 The Appraisal process will be conducted in a positive manner and will celebrate the excellent work of teachers

2.2 Appraisal is a supportive and developmental process designed to ensure that all teachers have the skills, resources and support they need to carry out their role effectively. The process will help to ensure that teachers are aware of the required national standards and expectations of them and enable them to continue to improve their professional practice and to develop as teachers. The appraisal process should be built around open and honest discussions between appraiser and appraisee.

2.3 Appraisal is 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. The school aims to support teachers to achieve their professional aspirations as identified through the Appraisal process.

Professional development will be linked to school improvement priorities and to the ongoing professional development needs and priorities of individual teachers.

2.4 The National Teaching Standards apply to all qualified teachers; Headteachers will take account of these standards, with reference to the levels which individual teachers can be expected to attain.

2.5 Appraisal reports are confidential and access to them will usually be limited to the appraisee, the appraiser. The information may be shared with others with the agreement of the appraiser and appraisee.

2.6 Appraisers and appraisees should be appropriately trained in appraisal procedures.

### **3.0 Purpose**

3.1 The purpose of these procedures is to provide a framework for the clear and consistent assessment of the overall performance of teachers, including the Headteacher. It is intended to support the development and aspirations of teachers within the school's plan for improving educational provision.

3.2 This policy is not intended to address issues of willful under-performance; these cases should be addressed using the Disciplinary Procedure and Capability Procedure, nor will it be applied to cases of unsatisfactory performance due to absence which should be dealt with using the Supporting Attendance Policy.

3.3 This policy applies to the Headteacher and to all teachers employed by the school, except those on contracts of less than one term and those undergoing induction (i.e. NQTs).

3.4 The teaching standards referred to in this policy apply only to Qualified Teachers; for Lead Practitioners, where separate standards exist, these can also be applied.

3.5 Where there are serious concerns about performance that the appraisal process has been unable to address, those concerns will be addressed through the school's Capability Procedure.

### **4.0 The Appraisal Period**

4.1 The appraisal period will run for a period of twelve months from 1st September until 31st August

4.2 Teachers who are employed on a fixed term contract of less than one year will have their performance appraised in accordance with the principles underpinning this policy. The appraisal period will be determined by the duration of their contract.

### **5.0 Appraisers**

5.1 In conducting appraisals the Headteacher will delegate the role to relevant line managers. Where the role is delegated the nominated appraiser will conduct the whole of the Appraisal process.

5.2 The governors/directors/academy committees has ultimate responsibility for ensuring that the appraisal process is conducted in a fair and consistent manner; this applies both where the Headteacher is the appraiser and when the role is delegated. The Headteacher may however delegate the operational responsibility for monitoring consistency to a member of the Senior Leadership Team.

5.3 In preparation for the Appraisal discussion teachers have a responsibility to reflect on their strengths, weaknesses and professional aspirations. Both appraiser and appraisee should refer to the up-to-date information on the teacher, the past and current performance of the teacher (e.g. outcomes, standard of teaching), using it as the basis for the Appraisal discussion. Although the Teachers Standards are not a check list, they may be used to inform the setting of objectives.

5.4 Headteacher performance will be appraised/addressed using this process by the Chair of Governors in conjunction with an appropriate external advisor or Orchard Community Trust/SEL..

## **6.0 Commencing the Appraisal Process**

6.1 Either before or as soon as practicable after the start of the Appraisal period, the appraiser and appraisee should meet for the Appraisal discussion. This meeting provides an opportunity for the appraiser and teacher to consider the context (as in 5.3) and allows the appraiser to present their assessment of the teacher's performance to date, so that they can agree objectives for the appraisal period.

6.2 The objectives set for each teacher will be linked to the national standards and school plan for improving educational provision. Objectives will be Specific, Measurable, Achievable, Realistic and Time-bound and will be appropriate to the teacher's role and level of experience. The appraiser and appraisee will always seek to agree the objectives but, if that is not possible, the appraiser will determine the objectives and a note made that they were not agreed. Where exceptional circumstances arise objectives may be revised.

6.3 Objectives should allow for challenge and progression of the teacher but should be achievable within the timescales provided. In determining objectives, consideration should be given to the workload implications to both the appraiser and appraisee.

6.4 In normal circumstances, it is good practice for teachers to have no more than 3 objectives. If more than 3 objectives are set, there is a responsibility to consider workloads and resources.

6.5 As well as setting objectives, the planning meeting should also make explicit the ways in which performance will be assessed.

## **7.0 Assessing performance**

7.1 For each appraisal period, teacher's performance will be formally assessed using the measures identified on the Appraisal Evaluation form.

7.2 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 using an appraisal review form.

7.3 Classroom observation for the purpose of Appraisal can only be carried out by those with QTS.

7.4 It is good practice to hold a pre meet with the appraisee to discuss the focus of the lesson observation in line with the teacher's appraisal objectives. The date and time of the observation should be confirmed, giving reasonable notice.

7.5 Teachers' performance will be regularly observed but formal lesson observations for the purpose of Appraisal should normally be for no more than 3 hours over the school year. If, in exceptional circumstances\* this is to be exceeded, it should only be following consultation between the appraiser and the appraisee.

*\*Exceptional circumstances would be when there has been insufficient or inconclusive evidence acquired from the formal lesson observations that have already taken place.*

7.6 Verbal feedback to colleagues should be timely and no more than 3 days after the event. Written feedback should be provided within 7 days. The feedback will be carried out in a professional and supportive manner.

## **8.0 Appraisal Review Feedback**

8.1 At the end of the Appraisal period, the summative review of the appraisee's performance during the Appraisal period will be agreed between the appraiser and the appraisee. Where there is not agreement, the appraiser will determine the review and a note made that there was not agreement. As soon as practicable following the Appraisal Review the appraisee will receive and have the opportunity to comment in writing on the written Appraisal report.

The appraisal report will include:

- details of the appraisee's objectives for the appraisal period in question;
- an assessment of the appraisee's performance against their objectives and the national standards with reference to the levels which individual teachers can be expected to attain.
- an assessment of the appraisee's professional development needs and identification of any action that should be taken to meet them;

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

8.3 The appraiser will make recommendations on pay which will then be referred to the head teacher before being referred to the appropriate committee.

8.4 Any appeal regarding determination of pay as a result of this procedure will be handled using the appeals process as detailed in the Whole School Pay Policy.

## **9.0 Concerns about Performance**

9.1 Implication of insufficient progress towards annual objectives should be clearly explained to the appraisee.

9.2 Where an appraisee is found not to be making sufficient progress towards annual objectives or meeting appropriate National Teaching Standards, it may be necessary to set additional, interim objectives to ensure that the most appropriate support can be provided.

9.3 If at any point during the appraisal cycle evidence emerges which highlights concerns regarding a teacher's performance the appraiser will arrange a meeting with the teacher to discuss the concerns. The format for this meeting can be found in Appendix 4.

9.4 At this meeting the appraiser and appraisee will seek to mutually acknowledge the concern and agree a period for improvement and support; if agreement is not possible, arbitration can be sought from the line manager, but it remains the responsibility of the appraiser to ensure that a support plan is in place, the length of which should be proportionate to the required improvements but should not exceed six weeks.

9.5 During this period all agreed support should be provided to ensure that the appraisee is afforded the best opportunity to improve performance.

9.6 Following the agreed review period a Review Meeting will be held to evaluate the review period and progress made. This meeting should follow the format detailed in Appendix 5. There are two possible outcomes to this review:

- 1) If the appraiser is satisfied that the appraisee 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.
- 2) If the appraiser is not satisfied with the level of progress made, the appraisee will be notified in writing that their performance will now be managed under the School's Capability Procedure rather than Appraisal. This will trigger the commencement of the Capability Procedure.

# Appendices

[Appendix 1](#) - Self assessment/appraisal evaluation form

[Appendix 2](#) – Examples: Sources of evidence to be used in appraisal process

[Appendix 3](#) – Guidance note: Conducting meeting where performance concerns are identified through appraisal process

[Appendix 4](#) – Guidance note: Conducting a review meeting where performance concerns have been identified through the appraisal process

[Appendix 5](#) – Useful Links

# Appendix I

## Self-assessment/appraisal evaluation form

Name:

Pay Point:

Date:

Self/School assessment:

## I. Professional practice outcomes

### Relevant standards

- Establish a safe and stimulating environment for pupils, rooted in mutual respect.
- Set goals that stretch and challenge pupils of all backgrounds, abilities and dispositions
- Demonstrate consistently the positive attitudes, values and behaviour which are expected
- Be accountable for pupils' attainment, progress and outcomes.
- Be aware of pupils' capabilities and their prior knowledge, and plan teaching to build on these.
- Guide pupils to reflect on the progress they have made and their emerging needs.
- Demonstrate knowledge and understanding of how pupils learn and how this impacts on teaching.
- Encourage pupils to take a responsible and conscientious attitude to their own work and study.
- Have a secure knowledge of the relevant subject(s) and curriculum areas, foster and maintain pupils' interest in the subject, and address misunderstandings.
- 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.
- If teaching early reading, demonstrate a clear understanding of systematic synthetic phonics.
- If teaching early mathematics, demonstrate a clear understanding of appropriate teaching strategies.
- Impart knowledge and develop understanding through effective use of lesson time.
- Promote a love of learning and children's intellectual curiosity.
- Set homework and plan other cut-of –class activities to consolidate and extend the knowledge and understanding pupils have acquired.
- Know when and how to differentiate appropriately, using approaches which enable pupils to be taught effectively.
- Have a secure understanding of how a range of factors can inhibit pupils ability to learn, and how best to overcome these.
- 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.
- Have a clear understanding of the needs of all pupils, including those with special educational needs; those of 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.
- Know and understand how to assess to relevant subject and curriculum areas, including statutory assessment requirements.
- Make use of formative and summative assessment to secure pupils progress.
- Use relevant data monitor progress, set targets, and plan subsequent lessons.
- Give pupils regular feedback, both orally and through accurate marking, and encourage pupils to respond to the feedback.
- 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.
- Have high expectations of behaviour, and establish a framework for discipline with a range of strategies, using praise, sanctions and rewards consistently and fairly.
- Manage classes effectively, using approaches which are appropriate to pupils need in order to involve and motivate them.
- Deploy support staff effectively.

### Measures

Lesson observations

Pupil progress data

Work scrutiny

Planning

Career expectation for standard

Professional Area	Teacher Main Range Points 1-2	Established Teacher Main Range Points 3-4	Accomplished Teacher Main Range Points 5-6	UPS1 and 2	UPS 3
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Professional Practice	Typically, most teaching is good or outstanding	Typically, almost all teaching is good or outstanding	Typically, all teaching is good or outstanding	Typically, most teaching is outstanding	Typically, all teaching is outstanding
Professional outcomes *	Most students achieve in line with School expectations	Almost all students achieve in line with School expectations	Almost all students achieve in line with School expectations; some exceed them	Almost all students achieve in line with School expectations; many exceed them	Almost all students achieve in line with School expectations; many exceed them

# Appendix I

## Professional relationships

### Relevant standards

Establish a safe and stimulating environment for pupils, rooted in mutual respect.

Demonstrate consistently the positive attitudes, values and behaviour which are expected of pupils.

Maintain good relationships with pupils, exercise appropriate authority, and act decisively when necessary.

Develop effective professional relationships with colleagues, knowing how and when to draw on advice and specialist support.

Deploy support staff effectively.

Communicate effectively with parents with regard to pupils' achievements and well-being.

### Measures

Code of conduct

Lesson observations

Professional feedback

[Career expectation for standard](#)

<i>Professional Area</i>	<i>Teacher</i> <i>Main Range Points 1-2</i>	<i>Established Teacher</i> <i>Main Range Points 3-4</i>	<i>Accomplished Teacher</i> <i>Main Range Points 5-6</i>	<i>UPS 1 and 2</i>	<i>UPS 3</i>
<i>Professional Relationships</i>	Positive working relationships with students, colleagues and parents.	These relationships are securely focused on improving provision for students.	Professional relationships with students, colleagues and staff lead to excellent classroom provision.	Plays a visible & proactive role in building key stage or departmental teams to improve provision and outcomes.	Plays a highly visible, proactive role in building school-wide teams to improve provision and impact on outcomes.

# Appendix I

## Professional development

### Relevant standards

- Demonstrate a critical understanding of developments in the subject and curriculum areas, and promote the value of scholarship.
- Reflect systematically on the effectiveness of lessons and approaches to teaching.
- Contribute to the design and provision of an engaging curriculum within the relevant subject area (s).
- Take responsibility for improving teaching through appropriate professional development, responding to advice and feedback from colleagues.

### Measures

- CPD records and feedback
- Action, impact and evaluation records
- Response to lesson observation feedback

### Career expectation for standard

<i>Professional Area</i>	<i>Teacher Main Range Points 1-2</i>	<i>Established Teacher Main Range Points 3-4</i>	<i>Accomplished Teacher Main Range Points 5-6</i>	<i>UPS1 and 2</i>	<i>UPS 3</i>
<i>Professional development</i>	Able, with support, to identify key professional development needs and respond to advice and feedback	Takes a proactive role in accessing relevant support and professional development	Fully competent practitioner able to keep up to date with changes and adapt practice accordingly	Plays a visible & proactive role in leading the professional development of key stage or departmental colleagues	Plays a highly visible & proactive role in leading the professional development of colleagues across the School

## Professional Conduct

### Relevant standards

Teachers uphold public trust in the profession and maintain high standards of ethics and behavior, within and outside the School, by: treating pupils with dignity; building relationships rooted in mutual respect and at all times observing proper boundaries appropriate to a teachers professional position; having regard for the need to safeguard pupils well-being, in accordance with statutory provisions; Showing tolerance of and respect for the rights of others; 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; ensuring that personal beliefs are not expressed in ways which exploit pupils vulnerability or might lead them to break the law.

Teachers must have proper professional regard for the ethos policies and practices of the School in which they teach, and maintain high standards in their own attendance and punctuality.

Teachers must have an understanding of, and always act within, the statutory frameworks which set out their professional duties and responsibilities.

## Measures

Maintain code of conduct

Formal disciplinary/ grievance

[Career expectation standards for guidance. Not to be used in isolation as check list.](#)

<i>Professional Area</i>	<i>Teacher</i> <i>Main Range Points 1-2</i>	<i>Established Teacher</i> <i>Main Range Points 3-4</i>	<i>Accomplished Teacher</i> <i>Main Range Points 5-6</i>	<i>UPS1 and 2</i>	<i>UPS 3</i>
Meets all the teacher standards. Meets all appraisal objectives	Meets all the teacher standards. Meets all appraisal objectives	Meets all the teacher standards. Meets all appraisal objectives	Meets all the teacher standards. Meets all appraisal objectives	Meets all the teacher standards. Meets all appraisal objectives	Meets all the teacher standards. Meets all appraisal objectives

<b>Self-Assessment</b>
1.
2.
3.
4.

<b>Appraisers Dialogue</b>
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1.

2.

3.

4.

## Appendix 2

### Examples: Sources of evidence to be used in appraisal process

Lesson observations – Organised and “drop in”.

Pupil progress data

Book scan/work scrutiny

Planning documentation

Professional feedback

Evidence from extracurricular activities

Observation/scrutiny of leadership and management activities where appropriate

## Appendix 3

### Guidance note: Conducting meeting where performance concerns are identified through appraisal process

Advise the member of staff that this meeting is held as part of the appraisal process.

Ensure the member of staff is provided with a copy of this policy.

Reinforce things the staff member does well.

Highlight clearly the specific areas of performance that are causing concern, and discuss the evidence of this (this should include evidence from appraisal process).

Ensure the member of staff has the opportunity to respond, provide reasons/explanation etc. for the performance shortfall.

Ask the staff member if there are any underlying issues that may impact on performance, e.g. health, issues outside work etc.

With areas of concern agree SMART targets that the teacher should work towards, agree what support the teacher feels would be beneficial and how performance will be monitored.

A review period should be set and interim review meeting agreed within this period. The length of this review period will be proportionate to the required improvements however it should not exceed six weeks.

Offer a mentor if appropriate (NB: this should be someone not involved in monitoring the staff member's performance).

Advise the staff member that if performance doesn't meet the required standards within the review period it may result in concerns being addressed under the capability procedure.

Encourage the staff member to consult with their trade union for further support.

## Appendix 4

**Guidance note: Conducting a review meeting where performance concerns have been identified through the appraisal process**

Advise the staff member that this meeting is a review meeting held as part of the appraisal process.

The appraiser should present evidence regarding the staff member's performance against the targets specified in the initial meeting.

The staff member should be asked for their opinion regarding their performance against the targets.

The staff member should be asked for their opinion on the support provided to date.

The principal should adjourn the meeting at this point to consider the evidence.

If 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.

If the appraiser is not satisfied with the level of progress made, the teacher will be notified in writing that their performance will now be managed under the capability procedure rather than appraisal. This will trigger the commencement of formal capability procedure.

# Appendix 5

## Useful Links

### *STPCD 2017*

[https://www.gov.uk/government/uploads/system/uploads/attachment\\_data/file/636389/School\\_teachers\\_\\_pay\\_and\\_conditions\\_document\\_2017.pdf](https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/636389/School_teachers__pay_and_conditions_document_2017.pdf)

### *STPCD 2017 - Teachers Standards*

[https://www.gov.uk/government/uploads/system/uploads/attachment\\_data/file/283566/Teachers\\_standard\\_information.pdf](https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/283566/Teachers_standard_information.pdf)

### *OFSTED School Inspection Handbook October 2017*

[https://www.gov.uk/government/uploads/system/uploads/attachment\\_data/file/651801/School\\_inspection\\_handbook\\_section\\_5.pdf](https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/651801/School_inspection_handbook_section_5.pdf)