



**Leicester City Council**

**Appraisal Procedure for Teachers based in City Schools/Colleges and other establishments (including centrally based teachers)**

Although this document refers to the Headteacher, it also applies to the Principal / Line Manager / governors as appropriate. Where there is reference to teacher in this document amendments will be required if the school decides to apply this policy to other staff.

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# Introduction

Revised 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).

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 are less prescriptive. 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.

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).

Schools and local authorities must have an appraisal policy for all teachers. This model policy applies only to teachers, including Headteachers, but schools may wish to adopt it for use with all staff. It has been written in the context of schools but the same principles apply to unattached teachers. The policy must be shared with all staff within your establishment.

In the model policy:

**Text in bold** indicates statutory requirements contained in the Appraisal Regulations or the School Staffing Regulations.

# Model policy for appraising teacher performance

The Governing Body of \_\_\_\_\_ School/College  
adopted the Local Authority policy on \_\_\_\_\_ (Date).

This policy has been agreed through Teachers Negotiating Committee (TNC).

Signed ..... Chair of Governors

Date .....

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For the attention of Deputy Strategic Service Partner (schools)

## PURPOSE

The policy sets out the framework for a clear and consistent assessment of the overall performance of teachers, including the Headteacher. It is to support their development, raise morale and motivate them to update their skills and improve performance within the context of the school's plan for raising educational standards and the standards expected of teachers.

## APPLICATION OF THE POLICY

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

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 policy also applies to unattached teachers, and schools may wish to adopt it for other staff in the school or setting.

## The Appraisal Period

**The appraisal period will run for twelve months** from \_\_\_\_\_ to \_\_\_\_\_ (insert dates: setting out any differences that exist for different categories of staff).

It is recommended that the appraisal period for teachers is completed by 31<sup>st</sup> October and by 31<sup>st</sup> December for Headteachers.

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.**

There is flexibility to have a longer or shorter appraisal period when teachers begin or end employment with a school or local authority or when unattached teachers change post within the same authority.

## Appointing appraisers

**The 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.**

In this school the task of appraising the Headteacher, including the setting of objectives, will be delegated to a sub-group consisting of three members of the Governing Body. It is recommended that governors conducting appraisals are suitably trained in this procedure.

Where a Headteacher has an objection on the suitability, for professional reasons, of the person to whom the Governing Body has delegated the appraiser duties s/he may, on one occasion, submit a written request to the Governing Body that the appraiser be replaced stating the reason(s) for the request. This request will be carefully considered and if possible an alternative appraiser will be offered. The Governing Body will make the final decision on the appraiser for each Headteacher.

The Headteacher will decide who will appraise other teachers. All the appraisers for teachers must have qualified teacher status and be suitably trained.

Where a teacher has an objection on the suitability, for professional reasons, of the person to whom the Headteacher has delegated the appraiser duties s/he may, on one occasion, submit a written request to the Headteacher that the appraiser be replaced stating the reason(s) for the request. This request will be carefully considered and if possible an alternative appraiser will be offered. The Headteacher will make the final decision on the appraiser for each teacher.

## Setting objectives

**The Headteacher's objectives will be set by the Governing Body sub-committee after consultation with the external adviser.**

**Objectives for each teacher will be set before, or as soon as practicable after, the start of each appraisal period. This will be carried out at an appraisal planning meeting and should be clearly defined with the appraiser and teacher clear on what success will look like and how progress will be measured.** The 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 teacher will seek to agree the objectives but where a joint determination cannot be made the appraiser will make the determination. If there is still disagreement the final decision will rest with the Headteacher. Objectives may be revised if circumstances change.

There will be a maximum of three objectives set for each teacher.

**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.** This will be ensured for example by quality assuring all objectives against the school improvement plan.

**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. This will be agreed at the appraisal planning meeting.** All teachers must be assessed against the set of standards contained in the document called "Teachers' Standards" published by the DfE in July 2011. The Headteacher or Governing 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.

For teachers who are qualified teachers by virtue of holding QTLS status, it is for the Governing Body or 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.

The Governing Body has agreed the pay policy of the school and has considered the implications of the appraisal policy with respect to the arrangements relating to teachers' pay in accordance with the School Teachers Pay and Conditions document. The Governing Body will ensure that decisions on pay progression are made by 31 December for Headteachers and by 31 October for other teachers.

## **Reviewing performance**

### **Observation**

This school 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 as a confidential process of constructive engagement within an atmosphere of support and co-operation. Classroom observations will take place in accordance with the local agreement on formal classroom observation.

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. Observations will be kept to the minimum needed to determine that objectives are met and in accordance with regulations.

Classroom observation will be carried out by those with QTS and 5 working days' notice of the date and time of the observation will be given to the teacher. Verbal feedback will be provided by at least the end of the next school day and written feedback with 5 working days unless exceptional circumstances make this impossible.

For the purpose of professional development feedback about lesson observations should be developmental not simply a judgement using Ofsted grades.

Headteachers and others with responsibility for teaching standards may "drop in" to evaluate the standards of teaching and learning and to ensure the high standards of professional performance and pupil progress are established and maintained.

The school will use the findings of each observation including appraisal observations for other management requirements thereby seeking to minimise the total number of occasions on which teachers are observed.

Teachers (including the Headteacher) whose posts have responsibilities outside the classroom should also expect to have their performance of those responsibilities observed and assessed, in line with Teachers' Standards.

### **Development and support**

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 ongoing professional development needs and priorities of individual teachers.

The school's CPD programme will be informed by the training and development needs identified as part of the appraisal process. The Governing Body will ensure in the budget planning that as far as possible, resources are made available in the school budget for appropriate training, and support agreed for teachers maintaining access on an equitable basis.

An account of the training and development needs of teachers including the instances where it did not prove possible to provide any agreed CPD will form a part of the Headteachers annual report to the Governing Body about the operation of the appraisal process in the school.

With regard to the provision of CPD in the case of competing demands on the school budget, a decision on relative priority will be taken with regard to the extent to which:

- a. The training and support will help the school to achieve its priorities and
- b. The CPD identified is essential for a teacher to meet their objectives.

Account will be taken in a review meeting of where it has not been possible for teachers to fully meet their performance criteria because the support recorded in the planning statement has not been provided.

## **Feedback and Assessment**

Teachers will receive constructive feedback on their performance throughout the year and as soon as practicable after an 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. This may include:

- an acknowledgment of good practice and performance, if appropriate;
- clear feedback on the nature and seriousness of any areas requiring improvement;
- providing the teacher with an opportunity to respond to the concerns;
- agreeing any support to be provided to address particular areas of concern;
- agreeing when and how progress will be reviewed

**Each teacher's performance will be formally assessed in respect of each appraisal period. In assessing the performance of the Headteacher, the Governing Body must consult the external adviser.**

This assessment will take place at a review meeting and will be the end point to the annual appraisal process. The review meeting will also form the planning meeting for the next appraisal period. Reviews may take place throughout the year if considered necessary by either party.

**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.** This will take place at an agreed review meeting. In this school, teachers will receive their written appraisal reports by 31 October (31 December for the Headteacher).

## 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 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 Headteachers and by 31 October for other teachers);
- (schools to say here what else, if anything, their appraisal reports will include)

The assessment of performance and of professional development needs will inform the planning process for the following appraisal period. A model review statement can be found in annex 1.

### Teachers experiencing difficulties

When dealing with a teacher experiencing difficulties, the objective is to provide support and guidance through the appraisal process in such a way that the teacher's performance improves and the problem is therefore resolved.

Where it is apparent that the teacher's personal circumstances are leading to difficulties at school, support will be offered as soon as possible, without waiting for the formal annual assessment.

If an appraiser identifies through the appraisal process, or via other sources of information, for example parental complaints, that the difficulties experienced by a teacher are such that, if not rectified, could lead to capability procedures, the appraiser, the Headteacher, or a member of the leadership team, will, as part of the appraisal meet the teacher to:

- give clear written feedback to the teacher about the nature and seriousness of the concerns;
- give the teacher the opportunity to comment on and discuss the concerns;
- give the teacher at least 5 working days notice that a meeting will be held to discuss targets for improvement alongside a programme of support and inform the teacher that s/he has the right to be assisted by a representative of an independent trade union/professional association or work colleague and at any future meetings where capability will be discussed;
- in consultation with the teacher at the above meeting an action plan with support will be established (for example coaching, training, in-class support, mentoring, structured observations, visits to other classes or schools or discussions with advisory teachers), that will 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

The teacher's progress will continue to be monitored as part of the appraisal process and a reasonable time given for the teacher's performance to improve. This will depend upon the circumstances but will be for a minimum period of 6 weeks, with appropriate support as agreed in the Action Plan, in order that the aim of recovering and improving performance can be achieved. During this monitoring period the teacher will be given regular feedback on progress and arrangements will be made to modify the support programme if appropriate.

If sufficient progress is made such that the teacher is performing at a level that indicates there is no longer a possibility of capability procedures being invoked the teacher should be informed of this at a formal meeting with the appraiser or Headteacher. Following this meeting the appraisal process will continue as normal.

If no, or insufficient, improvement has been made over this period the teacher will be invited to a transition meeting to determine whether formal capability proceedings need to be commenced or the appraisal process remains in place. The teacher may be assisted by a trade union representative or work colleague and will have at least 5 working days notice of the meeting.

## **Appeals**

Teachers have a right of appeal against any of the entries in the written appraisal report. Details of the appeals process are available from the Headteacher or from the school Governing Body.

Planning and review meetings will be held during directed time using the agreed annual time plan for all teachers.

# **General Principles Underlying This policy**

## **Confidentiality**

The appraisal process will be treated with confidentiality. However, the desire for confidentiality does not override the need for the Headteacher and Governing Body to quality-assure the operation and effectiveness of the appraisal system.

This school confirms that the appraisal process and any documentation generated under this process will be treated with strict confidentiality at all times. Other than the Headteacher only the appraiser/teacher and as necessary the teacher's line manager will have access to the appraisal reports. The line manager, if not the teacher will only have access to enable the line manager to discharge his/her line management responsibilities.

## **Consistency of Treatment and Fairness**

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

## **Definitions**

Unless indicated otherwise, all references to "teacher" include the Headteacher.

## **Delegation**

Normal rules apply in respect of the delegation of functions by Governing Bodies, Headteachers and local authorities.

## **Grievances**

Where a teacher raises a grievance during the appraisal process, the appraisal process may be temporarily suspended in order to deal with the grievance. Where the grievance and appraisal cases are related it may be more appropriate to deal with both issues concurrently.

## **Monitoring and Evaluation**

The Governing Body and Headteacher will monitor the operation and effectiveness of the school's appraisal arrangements.

## **Retention**

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

## APPRAISAL PROFORMA

Name of School

Name - XXXX  
Appraiser - XXXXJob title - XXXX  
Meeting date - XXXX

| Objective | Performance criteria including Teachers' Standards | Support/ CPD | Times cale | How monitored and evaluated (inc lesson observation) |
|-----------|--|--------------|------------|--|
|           |  |              |            |  |
|           |  |              |            |  |
|           |  |              |            |  |

Signed by:

Teacher \_\_\_\_\_

Appraiser

Date \_\_\_\_\_ Cc: Teacher, Appraiser,  
Headteacher

## APPRAISAL REVIEW MEETING

Objectives set for academic year XXXX

| Objective | Objective met / Further development required | Impact/outcomes evidence |
|-----------|--|--------------------------|
|           |  |                          |

|  |  |  |
|--|--|--|
|  |  |  |
|  |  |  |

**Other comments to be noted, to include progress, areas of strength, achievements, contributions, support and development received, etc., recommendation for pay progression (where applicable).**

**Appraisee's comments:**

**Teacher** \_\_\_\_\_ **Appraiser**  
\_\_\_\_\_ **Date** \_\_\_\_\_

## ROLES AND RESPONSIBILITIES

Summary of the main roles and responsibilities of:

- Governing Body
- Headteacher
- Teacher

Governors, Headteachers and teachers all have key roles to play and responsibilities to discharge in the appraisal process. By way of a summary their main roles and responsibilities are as follows:

### **Governing Body**

Establish the school's appraisal policy, monitor the operation and outcomes of appraisal arrangements, and review the policy and its operation every year.

Appoint 2/3 governors to review the Headteacher's performance on an annual basis.

Appoint an external adviser to advise appointed governors on the Headteacher's performance.

Make decisions about pay and career progression.

Chair of Governors should retain a copy of the Headteacher's appraisal statement.

Action any request from a Headteacher for evidence from appraisal to be transferred if the Headteacher moves school mid-cycle.

Ensure the content of the Headteacher's appraisal statement is drafted having regard to the need to be able to achieve a satisfactory work/life balance.

Undertake action in relation to appeals in line with the school's procedures.

Ensure appraisers are suitably trained, including governors.

Ensure guidance and the appraisal policy is available to both appraisers and appraisees.

Adopt the classroom observation protocol for the school.

### **Headteacher**

Report annually to the Governing Body on appraisal arrangements and on training and development needs.

Play an active role in their own appraisal and professional development including taking action as agreed at review meetings.

Act as appraiser to Teachers or, as appropriate, delegate the role of appraiser in its entirety.

Retain copies of all appraisal documentation for 6 years.

Take account of appraisal outcomes in school improvement planning and ensure the school produces and resources an effective plan for the professional development of its workforce.

Oversee the classroom observation protocol for the whole school.

Action any request from a teacher for evidence from appraisal to be transferred if the teacher moves school mid-cycle.

Evaluate standards of teaching and learning and ensure proper standards of professional practice are established and maintained.

Ensure that the teacher's appraisal statement is drafted having regard to the need for a satisfactory work/life balance.

### **Teacher**

Play an active role in their own appraisal and professional development including taking action as agreed at review meetings.

Where the role of appraiser has been delegated to them in accordance with the regulations, act as appraiser for other teachers.

Contribute to the annual appraisal planning of other teachers where appropriate.



## APPEALS

The Appeals Committee will consist of three governors none of whom are employees of the School or have been previously involved in making pay decisions.

Staff will be able to appeal to the Appeals Committee if they have not been successful and they wish to advance their case for consideration.

The arrangements for considering appeals are as follows:

A teacher may appeal against any determination in relation to his/her pay or any other decision taken by the Governing Body that affects his/her pay.

The grounds for appeal are that the person or committee by whom the decision was made –

- a. incorrectly applied any provision of the identified document/pay policy
- b. failed to have proper regard for statutory guidance;
- c. failed to take proper account of relevant evidence;
- d. took account of irrelevant or inaccurate evidence;
- e. was biased; or
- f. otherwise unlawfully discriminated against the teacher.

The order of proceedings is as follows:

1. The teacher receives written confirmation of the pay determination and where applicable the basis on which the decision was made.
2. If the teacher is not satisfied, he/she should seek to resolve this by discussing the matter informally with the decision-maker (i.e. the Headteacher) within 10 working days of the decision.
3. Where this is not possible, or where the teacher continues to be dissatisfied, he/she may follow a formal appeal process.
4. The teacher should set down in writing the grounds for questioning the pay decision (which must relate to the grounds as set out above) and send it to the Pay Committee who made the determination, within 10 working days of the notification of the decision being appealed against or of the outcome of the discussion referred to above.
5. The committee who made the determination should provide a hearing within 10 working days of receipt of the written grounds for questioning the pay decision to consider this and give the teacher an opportunity to make representations in person. Following the representation hearing, the employee should be informed in writing of the hearing's decision and the right to appeal immediately. A teacher is entitled to be accompanied by a colleague or representative at any formal appeal hearing.
6. A written appeal should be submitted within 5 working days of the decision. Any appeal should be heard by a panel of three governors who were not involved in the original determination, normally within 20 working days of the receipt of the written appeal notification and give the teacher the opportunity to make representation in person. This may be as early as possible after receipt of written appeal by mutual agreement. The decision of the appeal panel will be given in writing and, where the appeal is rejected, will include a note of the evidence considered and the reasons for the decision. The decision is final and there is no recourse to the staff grievance procedure.