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**Title of Policy/Procedure**      Teacher Appraisal Policy

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**Reviewer(s):**                      Head of HR

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**To be read in conjunction  
with the following  
policies:**                      Teacher appraisal guidance  
                                            Headteacher appraisal guidance  
                                            Teachers Pay policy

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**Consultation Process**              **Policy to be agreed with TU's at BKAT JCC**

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**Policy Date:**                      1 June 2022

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**Review Date:**                      1 September 2023

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**This policy is to be ratified  
by:**                                      People and Culture Committee

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## 1.0 Introduction

- 1.1 This policy sets out the framework for a clear and consistent assessment of the overall performance of teachers, including headteachers/deputies and assistant heads. It supports their development within the context of the school's plan for improving educational provision and performance, and the standards expected of teachers. Whilst the policy refers to teachers this also includes those staff on leadership scales including headteachers.
- 1.2 It reflects the Education (School Teachers Appraisal) (England) Regulation 2019 (the Appraisal Regulations).
- 1.3 Appraisal is 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.
- 1.4 The process will provide a basis for an assessment of performance for pay purposes for all teachers. Any policy decisions will be in accordance with the latest STPCD and the Trust Pay Policy.
- 1.5 Teachers will be assessed under the Teachers' Standards. Teachers will also be expected to demonstrate the core values and behaviours outlined by the Department for Education and replicated in the Teachers Appraisal Booklet. Examples of career stage expectations against the Teacher standards are included in this policy.
- 1.6 Headteachers will be required to demonstrate the Code of Conduct and Education Standards reflected in the National Standards of Excellence for Headteacher (2020).
- 1.7 The policy does not apply to a teacher whilst that teacher is undergoing an induction period (ECT's) or whilst a teacher is the subject of a formal capability procedure.
- 1.8 Further guidance and protocols can be found in the headteacher and teacher Appraisal Booklets
- 1.9 In its oversight of the appraisal system, the Trust is committed to ensuring consistency of treatment and fairness and to stay within the prevailing legal framework applicable to all employers; for example, the Equality Act 2010, the Employment Rights Act 1996, the Part-Time Workers Regulations 2000, the Fixed Term Employees Regulations 2002 and the General Data Protection Regulations 2018.
- 1.10 This appraisal policy continues to take account of the impact of the COVID-19 pandemic.
- 1.11 Teachers should not be penalised during the appraisal process or in respect of any subsequent pay progression, resulting from restricted pupil and staff attendance at

schools and which may have had an impact on the ability of the teacher to fully meet their objectives, including where linked to pay progression

- 1.12 For 2022/23 objectives will not be linked to the 'catch-up' of individual pupils or groups or based on measures related to performance tables and accountability measures, including Ofsted grades. The focus of performance management process should be to support a sustained, positive and productive engagement of pupils, with a strong emphasis on the well-being of pupils and staff.

## **2.0 The appraisal period**

- 2.1 The appraisal period will run for a full academic year and any pay decisions must be completed by 31 October for teachers and by 31 December for headteachers.

- 2.2 Schools have discretion when to hold review/setting target meetings as long as the dates set out in 2.1 are met. These can be separate discussions or can be completed in one meeting.

- 2.3 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 and the length of the period will be determined by the duration of their contract.

- 2.4 Where a teacher starts their employment at the school/academy part-way through a cycle, the headteacher or, in the case where the employee is the head teacher, the CEO shall determine the length of the first cycle for that teacher, with a view to bringing his/her cycle into line with the cycle for other teachers as soon as possible.

- 2.5 For the purpose of any pay awards the headteacher will consider any outcomes of the appraisal process during Term 1/2 in order to make recommendations to the Trustees/Governors Pay Panel by 31 October 2022 (Teachers) and 31 December 2022 (Headteachers). Any pay decisions will be backdated to 1 September 2022.

## **3.0 Appointing appraisers**

- 3.1 All headteachers will be appraised by the CEO and 2 members of the Local Governing Body. The CEO may delegate Headteacher appraisals to the DCEO as appropriate.

- 3.2 The CEO will be appraised by 2 Trustees supported by an external advisor who will be appointed by the Board of Trustees for that purpose.

- 3.3 The headteacher will decide who carries out the appraisal for teachers. Where teachers have an objection to the headteacher's choice, their concerns will be carefully considered and, where possible, an alternative appraiser will be offered. All appraisers appointed by the headteacher will be qualified teachers and will be trained in the appraisal process.

## **4.0 Moderating the Appraisal Process and pay decisions**

4.1 The Trustees/Local Governing Body Pay Panel will be responsible for ensuring the consistency and fairness of the appraisal process and outcomes as implemented within the school.

4.2 This will be achieved through:

- consistency of performance objectives. Trustees/governors will reserve the right to see an anonymous selection of objectives to see that they meet the school's development plan and are sufficiently realistic and challenging
- A requirement that all appraisers are experienced and fully trained in the process. Appraisers will be provided with opportunities for discussion, mentoring and coaching
- Assessment protocols according to school policy. See paragraph 10.4  
Governors will review some of the records of appraisal to ensure consistency.
- An annual review of performance outcomes ensuring that decisions comply with the schools' equalities policy

4.3 The Pay Panel will consider any pay recommendations made by the headteacher and will ensure that recommendations are fair and reasonable.

## **5.0 Confidentiality**

5.1 The management of appraisal information is subject to the requirements of the GDPR 2018. The information will be confidential and only shared with relevant individuals for the purpose of managing performance, training and professional development, pay and capability/disciplinary matters.

## **6.0 Performance Assessment**

6.1 Performance assessment for teachers will include:

- The achievement of objectives
- An assessment against the teacher professional standards
- An assessment of impact on pupil progress

6.2 The professional standards will reflect the minimum standard of competency, conduct and attributes of a teacher within this school. Whilst these reflect most importantly teaching and learning they may also include the teacher's contribution to the wider school and where appropriate to a teacher's experience and skills and responsibility to leadership and management.

6.3 Performance assessment for headteachers will include:

- The achievement of specific objectives that they were appropriately challenging to bring about significant school improvement
- Evidence of sustained high quality of overall performance
- A review against the Headteacher's National Standards of Excellence

## **7.0 Objectives**

- 7.1 The setting and agreement of objectives is fundamentally important to the effective operation of a performance management system that aims to link individual performance to pay progression.
- 7.2 The headteacher's objectives will be set by the CEO and 2 Governors and reference to the National Standards of Excellence for Headteachers 2020
- 7.3 A maximum of three 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
- Challenging,  
Specific,  
Measurable,  
Attainable,  
Relevant and  
Time-bound
- 7.4 and will be appropriate to the teacher's role and level of experience. In order for them to be appropriately challenged year on year as the teacher's experience develops it is expected that objectives will become gradually more demanding. 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 but always in consultation with the teacher. Any objections will be notes on the appraisal booklet.
- 7.5 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, including the impact on pupil progress and wider outcomes for pupils and the contribution to improvements in other areas such as pupil behaviour, lesson planning, and the wider contribution to the work of the school. Objectives will reflect both the teacher's individual professional needs and the school's needs and requirements as set out in the school development plan.

## **8.0 Professional Standards**

- 8.1 The performance of all teachers will be assessed against the relevant professional standards including the Teacher Standards (2012). In relation to headteachers the National Standards of Excellence for Headteachers (2020) should inform the performance review. 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.
- 8.2 The assessment of the teacher's performance will consider the experience of the teacher and objectives set should reflect where the teacher is in their career.

8.3 Performance will be assessed as to whether the standards have been met and which have been exceeded.

8.4 Teacher standards provide a minimum standard expected of all teachers.

In addition, teachers in their early years of teaching the school may expect evidence of:

- An increasing use of teaching methods and strategies, including technology
- Use of different strategies with students of varying ability
- Increasingly seeking out good practice to raise student achievement and to meet challenging targets
- Use of behaviour management strategies in the classroom and around school
- Support and contribute to events and activities which enhance the wider school ethos and contribute to whole team/school goals

For more experienced teachers:

- Consistently set goals that stretch and challenge all pupils
- Demonstrate the use of a range of teaching , learning and behaviour management strategies
- Have up to date knowledge and understanding in subject /curriculum area
- Demonstrate ability to plan for progression across the age and ability that they teach
- Use of critical and reflective self-evaluation to improve their teaching and professional effectiveness
- Manage the learning of individuals, groups and classes effectively modifying appropriately to suit the stage of the lesson and needs of the learners.
- Promote collaboration and work as a team member

8.5 In the case of post threshold and those on the leadership group, objectives, if met, will be of a substantial and sustained high quality and that they have grown professionally by developing their teaching and leadership expertise, as appropriate.

8.6 The Career Stage Expectations document demonstrate how appraisers will assess qualified teachers against the Teacher standards to a level that is consistent with what should be reasonably expected of a teacher in the relevant role and at the relevant stage of their career.

8.6 In relation to headteachers objectives should consider:

- Key priorities for the school and the Trust
- National Standards of Excellence for Headteachers
- The Headteachers personal aspirations and work life balance

- The school's leadership and management
- Pupils' progress
- Meeting key milestones
- External factors eg. COVID-19 pandemic

## 9.0 The Appraisal Process

### 9.1 Preparation:

- Preparation will be in accordance with either the Headteacher/Teacher Appraisal Booklet and/or through the Perspective performance management tool.
- There will be some element of self review/reflection on the previous year and to think about possible objectives for the year to come
- The appraiser will discuss any supporting information put forward by the teacher and in particular any evidence related to measurable outcomes, although this must be kept to a minimum.

### 9.2 The Appraisal Meeting/s:

- Each teacher will begin the appraisal cycle with new objectives for the coming year (See para 7)
- Towards the end of the cycle performance will be formally assessed in respect of each appraisal period. In assessing the performance of the headteacher, the CEO will lead the meeting supported by 2 Governors.
- Progress towards objectives and performance will be monitored during the appraisal cycle through observation and other monitoring.
- Discussions will cover the following points:
  - Review and discuss the teacher's responsibilities and objectives set previously
  - Recognise strengths and achievements
  - Review actions agreed during the appraisal cycle
  - Consider whether objectives have been met or exceeded
  - Consider the extent to which the Teacher Standards have been evident within the teacher's performance during the previous year
  - In relation to Headteachers check against the National Standards of Excellence
  - Review assessment data during the appraisal cycle
  - Identify areas for development and how these will be achieved
  - Identify professional development needs
  - Agree new objectives for the next year

When reviewing and setting objectives headteachers should remain flexible to account for part or full school closures, the need for 'blended' remote learning

and/ or circumstances where members of staff may need to isolate.

Appraisers will consider evidence of student achievement, team contribution and classroom observation (See section 10 below).

9.3 The teacher will receive as soon as practicable following the end of each appraisal period, an appraisal report. The appraisal report will cover:

- 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 training and development needs and identification of any action that should be taken to address them
- Recommendations on pay progression

The teacher will have the opportunity to make written comments that can be attached to the report.

9.4 Alternatively, schools can use Perspective for the performance management cycle. This includes the same process as set out above however allows personal development plans to be linked to whole school and individual targets and retains all teacher reports and pay recommendations in one space. These can be updated throughout the year.

## **10.0 Evidence to support performance outcomes**

10.1 As part of the overall process, it will be important for all members of staff who are subject to the school's appraisal policy to be clear about the evidence that will be required by their appraiser to enable the appraiser to assess their performance and make a substantiated and evidence-based pay recommendation to the 'decision maker'

10.2 During the appraisal process the teacher should draw the attention of the appraiser to relevant information, related to measurable outcomes. Supporting information should be kept to a minimum however the appraiser does have the right to call for supporting information if required.

10.3 Reference to information relating to pupil achievement is a requirement.

10.4 Monitoring of classroom practice and other responsibilities is important both as a way of assessing teachers' performance in order to identify any strengths and areas for development they may have and of gaining useful information which can inform school improvement more generally. Assessment will be evidenced through observation, discussions with pupils (including alongside their work), scrutiny of pupil progress, including learning in books.

10.5 Teachers' performance will be observed on an appropriate and reasonable number of occasions (no more than 3 per academic year, except in exceptional circumstances) and will be agreed by the appraiser with the appraisee based on the individual circumstances of the teacher and the overall needs of the school.

The number and duration of appraisal observations will be in accordance with the school/academy's observation protocol, which includes provision for exceptional circumstances where concerns have been raised about a teacher's performance, or where the teacher requests additional observation visits.

- 10.6 Headteachers or other leaders with responsibility for learning and teaching standards may "drop in" or undertake other assessments to evidence that the teacher demonstrates a triangulated approach to pupil learning and progression. The length and frequency of "drop in" or other monitoring events and the notice to be given, will vary depending on specific circumstances but will be in accordance with the school's assessment protocols. These events must add value to the appraisal process and not be overburdening to the teacher.
- 10.7 For the purpose of professional development, feedback on teaching, learning and assessment will be developmental and not simply a judgement using Ofsted grades.
- 10.8 This school will use the findings of observations, including appraisal observations, for other management requirements (for example subject area reviews), thereby seeking to minimise the total number of occasions on which teachers are observed.
- 10.9 Teachers (including the headteacher) whose posts have responsibilities outside the classroom should also expect to have their performance of those responsibilities observed and assessed.
- 10.10 As part of their overall inspection framework, Ofsted wishes to see evidence in schools that the appraisal procedure is used effectively and enables school improvement; if appraisal evidence is not available, this is likely to impact negatively on the Ofsted Inspection Grade for Leadership and Management. In addition, Ofsted will check the effectiveness of professional development provided by leaders and how well leaders engage with staff and take account of workload pressures, including during the appraisal process. It is therefore prudent for schools to generate and retain as much reasonable 'appraisal system' evidence as practicably possible. The Appraisal Booklet contains a suggested template form on which to record evidence.

## **11.0 Feedback**

- 11.1 Teachers will receive constructive feedback on their performance throughout the year and as soon as practicable after monitoring 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.
- 11.2 A written appraisal report must be provided at the conclusion of the appraisal process – by 31 October for teachers and support staff and by 31 December for head teachers; the report must record the overall performance assessment and pay recommendation. They will also receive a statement of their objectives for the coming year.

- 11.3 Good progress towards the achievement of a challenging objective, even if the performance criteria have not been met in full, will be assessed favourably. If agreement cannot be reached, especially on the outcomes of an appraisal meeting, the teacher may appeal to the headteacher or the headteacher may appeal to the chair of the governing body, whose decisions will be final. Again, headteachers should have a flexible approach where activities have not met due to restrictions through COVID-19.
- 11.4 The overall assessment of performance and its subsequent performance rating for individual members of staff will be subject to a process of moderation, arrangements for which will be put in place by the headteacher with the approval of the governing body.
- 11.5 The final version of the appraisal documentation will be placed on the employee's file and a copy of their CPD made available to the school's CPD Coordinator. The sharing of such information is governed by the data protection principles under the GDPR 2018.
- 12.0 Teachers Experiencing Difficulties**
- 12.1 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.
- 12.2 Where it is apparent that a 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 long-term sickness absence appears to have been triggered by the commencement of monitoring procedure, the case will be dealt with in accordance with the school's Well-Being policy.
- 12.3 Any meetings held to discuss performance will be recorded and a copy given to the individual.
- 12.4 If at any point in the cycle, evidence emerges that an employee's performance has fallen below the minimum standards expected of them, the appraiser/headteacher will arrange a meeting to discuss the following:
- Explain the nature and seriousness of the concerns
  - Detail any previous discussions/support
  - Give the employee the opportunity to comment and discuss concerns
  - Set targets for future performance within an agreed timescales (usually min 4 weeks) (in addition to appraisal objectives)
  - Agree any further support (eg. coaching, mentoring etc)
  - Make it clear how progress will be monitored/reviewed
  - Explaining the consequences and process if no, or insufficient improvement is made including decision on pay
- Regular contact will be maintained throughout the period
- 12.5 At the end of the agreed timescale a review meeting will be held to discuss

progress. 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 meeting with the appraiser or head teacher. Following this meeting the appraisal process will continue as normal. Please refer to the attached appraisal flowchart.

12.6 In certain circumstances the appraiser and appraisee may agree to extend the period of support.

12.7 Where performance concerns are particularly serious and/or where there has been insufficient improvement following any monitoring period, the appraisal process will be suspended and 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 accompanied by a trade union representative or colleague. If the decision is made to commence formal capability proceedings the Capability Procedure will apply.

### **13.0 Pay progression linked to performance**

13.1 The Trustees/Local Governing Body pay panels 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. All pay recommendations should be clearly attributable to the performance of an employee.

13.2 The relevant pay panel must decide how pay progression will be determined, subject to the following:

- a. The decision, whether or not to award pay progression, must be related to the teacher's performance.
- b. A pay recommendation must be made in writing as part of a teacher's appraisal report.
- c. The relevant pay panel must determine through what process the teacher's performance will be assessed and a pay recommendation made for the purposes of making its decision on pay.
- d. 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.
- e. A decision may be made not to award pay progression, whether or not the teacher is subject to capability proceedings.

13.3 The relevant pay panel must determine pay progression in accordance with the Trust's Pay Policy. The headteacher 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.

- 13.4 To move up the main pay range, one point at a time, teachers will need to have made good progress towards achieving their objectives and have demonstrated that they are competent in all elements of the Teachers' Standards.
- 13.5 If the overall appraisal evidence shows that a teacher has demonstrated exceptional performance overall, the governing body will consider awarding enhanced pay progression, up to a maximum of two progression points. Teaching, learning and assessment should be 'outstanding', as defined by Ofsted.
- 13.6 The Trust will consult with staff and union representatives on the establishment of appraisal and pay policies and will ensure that appraisers have the knowledge and skills to apply procedures fairly.
- 13.7 Appraisers will work with their teachers 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 Any qualified teacher can apply to be paid on the Upper Pay Range. All applications should include the results of appraisals; where such information is not available a written statement and summary of evidence that sets out how the applicant has met the assessment criteria will be sufficient. To be assessed successfully, a teacher will be required to meet the criteria set out in the School Teachers' Pay and Conditions Document (STPCD):
- The teacher is 'highly competent' in all the elements of the Teachers' Standards
  - The teacher's achievements and contribution to the school is 'substantial and sustained'.

*Highly competent*

The teacher's performance is assessed as having excellent depth and breadth of knowledge, skills and understanding of the Teachers' Standards in the particular areas they are fulfilling and the context in which they are working.

*Substantial*

The teacher's achievements and contribution to the school are significant, not just in raising standards of teaching and learning in their own classroom but also in making a significant wider contribution to school improvement which impacts on pupil progress and the effectiveness of staff and colleagues.

*Sustained*

The teacher must have had two consecutive successful appraisal reports (including the current review) and have made good progress towards their objectives; they will be expected to have shown that their teaching expertise has grown over the relevant period and is consistently of a high standard.

Teachers who have been absent through sickness, disability or maternity may need to cite written evidence over a 1-year period before the date of the application

## **14.0 Appeals**

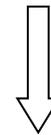
- 14.1 If a teacher is unhappy with any aspect of the appraisal process they should raise it initially with the CEO/headteacher who will try to reach agreement informally. If the matter is not resolved to the Teacher's satisfaction they should raise their concern through the Appeal Procedure set out in the Schools Pay Policy if their complaint is in relation to pay progression or through the Schools Grievance Procedure for all other complaints.

Appraisal process

Teacher experiencing difficulties



H/T Meeting to discuss targets for improvement, agree tailored CPD and timescales (min 4 weeks)



H/T Review Meeting

(5 days)



Insufficient progress  
Formal Transition meeting  
(TU involvement)

(5 days)



Formal Capability

Makes sufficient improvement  
Continue with appraisal process



Extend period (in exceptional circumstances)

