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# APPRAISAL POLICY & PROCEDURE FOR ALL CATEGORIES OF SCHOOL

Fully adopted by

HEREFORDSHIRE PUPIL REFERRAL SERVICE



**October 2024**

<b>Responsible Management Committee (MC)</b>	Finance
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## 1. INTRODUCTION

Governing Bodies are required to have appropriate appraisal arrangements in place which allow schools to manage and review individual employee performance annually.

This procedure is designed in accordance with the Education (Schools Teachers' Appraisal) (England) Regulations 2012, and sets out the principles that apply to teachers and support staff in all maintained schools. The new regulations provide LAs and schools with more freedom to design arrangements in accordance with the needs of the school. This policy sets out the minimum standards required by the regulations, which can be adapted by individual schools.

It is the responsibility of the Head teacher to ensure employees have access to policies, and to communicate any changes to employees, once the policy has been ratified by the governing body.

Schools should apply a common sense approach and are advised to review the DfE document "Making Data Work" and "Implementing your schools approach to pay"

[Click here for link to 'Making Data Work'](#)

[Click here for the link to 'Implementing your school's approach to pay'](#)

Click here for the link to [Teachers Standards](#).

Where the policy refers to "good" teaching and learning this is in line with OFSTED's framework as set out in

## **2. SCOPE**

This policy and procedure applies to all categories of schools and Pupil Referral Units.

Where Herefordshire Council is not the legal employer (Voluntary Aided Church Schools, Trust Schools or Academy Schools), schools may choose to adopt a different appraisal procedure but must have regard to the Education (School Teachers' Appraisal) (England) Regulations 2012.

The appraisal policy applies to all Teachers employed on permanent contracts of employment and those employed on fixed term contracts lasting one school term or more, that are not Early Careers Teachers (ECTs).

This appraisal policy applies to Support Staff in schools.

### **2.1 COVID-19 update**

Maintained schools must continue to adhere to the School Teachers' Pay and Conditions Document (STPCD), which includes the requirement to ensure that all pay progression for teachers is linked to performance management. We would expect schools to use their discretion and take pragmatic steps to adapt performance management and appraisal arrangements to take account of the current circumstances. Schools must ensure that teachers are not penalised during the appraisal process or in respect of any subsequent pay progression decisions as a result of the decision to restrict pupil attendance at schools, such as where this has had an impact on the ability of the teacher to meet fully their objectives.

[Click here for full guidance.](#)

## **3. PRINCIPLES**

### **3.1. Fairness**

- Appraisals represent an opportunity to assess employee performance against specific objectives and provide a mechanism to discuss development.
- It is important that appraisals are conducted fairly and objectively.
- No employee will be treated unfavourably on the grounds of the protected characteristics of age, disability, gender reassignment, marriage and civil partnership, pregnancy and maternity, race, religion and belief, sex or sexual orientation, or any other grounds.
- Decisions on teachers' pay progression must only be related to performance appraisals and cannot be made based on funding
- The Government's expectation is that good classroom teachers should expect to reach the maximum of the main pay range within 5 years.

### **3.2. Feedback to employees**

- An integral part of the appraisal process is providing regular feedback to employees on their performance.
- Regular feedback ensures that employees understand what is expected of them, and how they are performing against the requirements of the role and specific set objectives.

- Regular feedback should be given through the normal management process for example regular 1:1s, team meetings etc.
- Arrangements for giving feedback will be determined by the school.
- Feedback should be sourced from a wide range of sources including other colleagues, and subordinates (where applicable).
- Feedback should not just be given at the annual appraisal stage; employees need to have regular feedback throughout the year.
- Where it is identified that there is a potential performance issue a programme of support should be arranged through the appraisal process with the individual prior to any escalation to formal capability procedures.
- The relevant body should manage the appraisal and pay determination process so that there are no surprises at the end of the appraisal cycle - throughout the appraisal cycle both teacher and appraiser should understand what objectives are in place, the evidence that will be used to assess performance against objectives and the criteria for successful performance review.
- There is a clear expectation in the STPCD that good performance should lead to pay progression and the school's pay policy should define what constitutes good performance in the context of the school. In circumstances where a teacher does not receive pay progression, an important part of the feedback will be to outline the evidence that was taken into account to support this decision, and to explain how any development issues can be addressed.

### **3.3. Role of the line manager / appraiser.**

- In most circumstances the individual's line manager will be the person reviewing and monitoring ongoing performance, holding regular 1:1s as appropriate and conducting the annual appraisal discussion.
- The line manager / appraiser will be responsible for providing support including coaching and mentoring to ensure that employees know what is required of them and how to achieve performance standards and include, as appropriate a discussion on appropriate CPD.
- Where the person conducting the appraisal is not the individual's line manager the appraiser must have some direct responsibility for the performance of the individual and they must be suitably trained in the appraisal process.
- The person conducting the appraisal must be in a more senior post within the school; it is not appropriate for the appraiser to be of the same level or in a lesser post than the person being appraised.
- The line manager / appraiser will ensure that an annual performance appraisal for all staff is undertaken once a year.
- It is recommended that a mid-year review is also undertaken.
- The line manager/appraiser will make a pay recommendation where appropriate.

This role is undertaken by the Governing Body for Head teachers (see para 7)

### **3.4. Role of the employee / appraisee**

- Every employee should ensure that they take responsibility for their own professional development.
- The appraisee will ensure that they strive to meet and exceed objectives, and will ensure that continuous professional development is planned and evidenced.
- Staff should meet with their line manager to discuss their salary progression aspirations and development needs.
- The appraisee may wish to keep a record of achievement and development activities throughout the year, in preparation for the annual performance appraisal.

### **3.5. Annual Appraisal Discussion**

Every employee in the school will have an annual appraisal discussion, in line with the school's appraisal cycle and the dates published for holding annual appraisal discussions. Please see school specific guidance.

The annual appraisal discussion will include the following:

- Review of the individual's performance over the last academic year, including a review against the objectives set at the beginning of the appraisal period.
- Agreeing objectives for the next appraisal period in line with school priorities, and for teaching staff, in line with teacher standards and the school's priorities for teaching and learning for the coming year.
- A discussion regarding professional development and training activities.
- A written report detailing the appraisal discussion will be issued to the employee for signature, within 5 working days.
- The annual appraisal will be confidential and employee appraisal documentation will be placed on the employee's file for 6 years.

### **3.6. Training**

The Governing Body and Head teacher are responsible for ensuring that managers within the school who have responsibility for undertaking appraisals are sufficiently trained, and supported in order to conduct appraisals and performance management in line with the annual appraisal period.

## **4. APPRAISAL PERIOD**

- The appraisal period will run for twelve months from 1<sup>st</sup> September until 31<sup>st</sup> August.
- The annual appraisal cycle will be determined by the relevant school and dates for review for Teaching and Support staff will be clearly outlined at the beginning of the appraisal cycle. Please see school's specific guidance.
- Teachers who wish to apply for Upper Pay Range (UPR) must do so by 31<sup>st</sup> October in the academic year in which the application relates. Further details can be found in Section 6 of the Performance Related Pay Policy.
- Any award will be backdated to 1<sup>st</sup> September. Please see the 'Teacher Performance Related Pay Policy (HR007 (SCH)) for further information.
- 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 and an individual teacher's objectives should take account of the length of contract
- Where a Teacher ceases employment other than at the end of the appraisal period, as detailed in 3.1, the appraisal period ends with the last day of employment.
- Every employee will be appraised at least once every 12 months. Unless there are exceptional circumstances the annual appraisals will normally be completed by 31<sup>st</sup> October. It is recommended that every employee has a mid-year review appraisal discussion.
- The annual appraisal discussion will normally be held in July at the end of the academic year (but no later than early September prior to the next appraisal cycle).
- Objectives for each teacher will be set before, or as soon as practicable after, the start of each appraisal period.
- The school may choose to hold appraisal discussions for support staff at a different time to the timeframe for teaching staff. This will be determined and agreed by the Governing Body in conjunction with the Head teacher.
- The timeframe for holding annual appraisal discussions will be communicated to all staff particularly where the timeframes vary for teaching and support staff.

## 5. APPOINTING APPRAISERS

Line managers/appraisers are central to ensuring that the appraisal and pay determination process is carried out effectively and efficiently. Line managers should have regard to the work-life balance of their staff when setting objectives for the year ahead and governing bodies should have regard to the work life balance of the Head teacher. Appraisers must take account of the principle that evidence for appraisals must be proportionate and clearly rooted within the appraisal process. It is also essential that all appraisers fully understand the appraisal process within their school and how it is linked to the school pay policy.

Appraisers should have the necessary skills to carry out these important functions. Schools should ensure that all appraisers are prepared for carrying out all elements of the appraisal process; training should be made available where necessary.

### **Head teacher**

The Head teacher will be appraised by the Governing Body, supported by a suitably skilled and / or experienced external advisor who has been appointed by the Governing Body for that purpose.

**The Head teacher's objectives will be set by the Governing Body after consultation with the external adviser.** The task of appraising the Head teacher, including the setting of objectives, will be delegated to a sub-group appraisal panel consisting of three members of the Governing Body.

Where a Head teacher is of the opinion that any of the governors appointed by the Governing Body is unsuitable to act as his/her appraiser, s/he may submit a written request for that governor to be replaced, stating the reasons for the request.

### **Teachers**

The choice of appraiser is for the Head teacher. Where teachers have an objection to the Head teacher's choice, their concerns should be raised formally and will be carefully considered and, if appropriate, an alternative appraiser will be offered. All appraisers appointed by the Head teacher will be qualified teachers and will have current or recent teaching experience.

Appraisers will be trained in appraisal procedures, and reviewing performance and will be conversant with the School's Appraisal policy and procedure.

Where it becomes apparent that the appraiser appointed by the Head teacher will be absent for the majority of the appraisal cycle, the Head teacher may perform those duties herself/himself or delegate those duties to another teacher who has undertaken the relevant training on appraisal procedures for the duration of that absence.

If the Head teacher appoints an appraiser who is not the teacher's line manager, the appraiser to whom she/he delegates those duties will have an appropriate position in the staffing structure, together with the necessary background knowledge, skills and training to undertake the role.

### **Support staff**

Support staff members will normally be appraised by their direct line manager. This will be determined by the Head teacher.

## 6. SETTING OBJECTIVES

See APPENDIX 3 – SETTING OBJECTIVES for examples of layered objectives linked to the school improvement plan



## Teaching staff

- The Head teacher's objectives will be set by the Governing Body after consultation with the external advisor.
- Objectives for each teacher will be set before the start of the appraisal period or as soon as practicable after, the start of each appraisal period.
- The objectives set for each teacher may be specific, measurable, achievable, realistic and time-bound (SMARTID) and will be appropriate to the teacher's role and level of experience.
- Suitable teacher performance goals include those related to their classroom instructional practices, their contributions to the development of school curriculum and the relationships they uphold with pupils, colleagues and parents.
- Head teachers and other appraisers should use their professional judgement when appraising teachers' performance. It is not necessary for schools to adopt rigid models that seek to set out exactly what the relevant standards mean for teachers at different stages in their careers and teachers should not be expected routinely to provide evidence that they meet all the standards.
- 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.
- The objectives for teachers will be linked to the relevant Teacher standards and in line with level of experience and relevant stage of career and (following the introduction of teacher performance related pay) salary aspirations.
- Objectives will link to school priorities for teaching and learning as identified in the School's improvement plan.
- 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 the School.
- It is recommended and accepted practice within Herefordshire that teachers have three objectives.
- The criteria for the objectives should be made clear to the employee so they are aware of what success should look like.
- Teachers should have the chance to challenge the use of inappropriate evidence, (for example, raw numerical data)."

The appraiser will take into account the effects of an individual's circumstances, including any disability, when agreeing objectives. For example, this might include a reasonable adjustment to allow an individual slightly longer to complete a task that might otherwise be the case. When staff return from a period of extended absence, objectives may be adjusted to allow them to readjust to their working environment.

Before, or as soon as is practicable after the start of each appraisal period, each teacher will be informed of the standards against which their performance in that appraisal period will be assessed. Teachers will be assessed against the appropriate set of standards contained in the document "Teachers' Standards" published in May 2012. The Head teacher or Governing Body (as appropriate) will need to consider whether certain teachers with specific responsibilities should be assessed against other sets of standards published by the Secretary of State or other body that are relevant to them. For QTLS holders, this may include the overarching professional standards for teachers in the lifelong learning sector, held by the Learning and Skills Improvement Service

Teachers who do not wish to progress through to the Upper Pay Range (UPR) will continue to be set objectives so that they continue to develop as a professional teacher.

Schools should inform staff how objectives will be moderated across the school to ensure that they are consistent between teachers with similar experience and levels of responsibility.

The teacher will receive as soon as practicable following the end of each appraisal period – and have the opportunity to comment on – an appraisal report (in practice the report could be produced using online performance management systems, which can help to reduce workload.

There is a separate guidance document HR007 (SCH) Performance Related Pay - Agreed Career Stage Expectations which can be referred to for further information.

### Support staff

Support staff objectives will be set by their line manager in line with requirements of the post, the level of experience in the current role, the grade, and will be in line with the needs of the school.

## **7. REVIEWING PERFORMANCE**

### **Observation – Teaching**

- The 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 observations will be approached in a supportive and positive manner.
- There will usually be a limit of three observations for all purposes and the total time occupied by all observations will usually not exceed three hours per year. The focus and timing of observations should be agreed in the performance management/appraisal planning statement.
- Where a teacher gives cause for concern additional observations may take place as detailed in the feedback and support section.
- Classroom observation will be carried out by those with QTS
- Verbal feedback will be provided at least by the end of the next school day and written feedback within 5 working days, unless circumstances make this impossible.
- In addition to formal observation, Head teachers or other leaders with responsibility for teaching standards may 'drop in' in order to evaluate standards of teaching and to check that high standards of professional performance are established and maintained. (See Section below)
- The length and frequency of 'drop in' observations will vary depending on specific circumstances and will be determined by the school.
- Teachers (including the Head teacher) who have responsibilities outside the classroom should also expect to have their performance of those responsibilities observed and assessed.

### **Learning Walks/Drop In's**

Learning walks are structured walks through classrooms in order to provide evidence about pupil learning, pupil progress and areas for school development. They are intended to be constructive and developmental and to support a whole school or department wide improvement activity.

Staff will be advised when learning walks are due to take place and visits to individual classrooms would usually be no longer than 15 minutes in duration.

Information gathered in a learning walk will not be used to evaluate the performance of a teacher either for appraisal or capability purposes.

When concerns are raised during a learning walk, the person conducting the learning walk will have a professional conversation with the teacher to discuss the issue which may result in support being initiated.

### **Development and support**

#### Teaching staff

- 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/academy'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 appraisees, maintaining access on an equitable basis.

#### Support staff

- Support staff will be given development opportunities in line with the requirements of their job role and the needs of the school.

### **Feedback**

#### Teaching Staff

- Teachers will receive constructive feedback on their performance throughout the year through regular 1:1s, and as soon as practicable after observation has taken place or other evidence has come to light (see paragraph 9.13).
- There should be no surprises at the appraisal meeting as employees should have been updated and received feedback throughout the year.
- Feedback will highlight particular areas of strength as well as any areas that the teacher needs to focus on in line with individual objectives and teacher standards.
- Where it is identified that there is a potential performance issue and the Head teacher / appraiser has concerns about any aspects of the teacher's performance, the appraiser will meet the teacher formally to:
  - give clear feedback and evidence to the teacher about the nature and seriousness of the concerns; (NB clear written evidence should back up the discussion; i.e. lesson observations, appraiser observation where teacher standards have not been met, pupil data and assessment information etc)
  - give the teacher the opportunity to comment and discuss the concerns;
  - agree any support (e.g. coaching, mentoring, structured observations), that will be provided to help address those specific concerns;
  - agree targets for improvement (in the form of a personal development plan) and set an informal support and review period;
  - make clear how, and by when the appraiser will review progress, explain the implications and process if no or insufficient improvement is made.
- Following the discussion, a performance improvement plan should be developed clearly outlining the standards of performance expected, with a clear indication of targets to be achieved and the timeframe for the review period.
- The review period should be long enough to allow sufficient time for the individual to improve their performance.
- During the support and review period, performance should be regularly reviewed and the individual given feedback on their performance and on the targets set.
- This will provide an opportunity to discuss ongoing support, and any further coaching or support that may be required.

- At the end of the review period, if the appraiser is satisfied that the teacher has made, or is making sufficient improvement, the appraisal process will continue as normal, with any remaining issues continuing to be addressed through that process.

### Support staff

- Support staff will receive feedback ongoing from their direct line manager, through regular meetings.
- There should be no surprises at the appraisal meeting as employees should be updated and receive feedback throughout the year.
- Where a performance issue is identified the same process for improvement will be followed as detailed in the section below, but will be appropriate to the level held within the school.
- The support given through the monitoring period will be appropriate to the performance issue to be improved, and designed to achieve that purpose. This includes coaching, mentoring, job shadowing, and other development opportunities.
- Targets set for improvement may be SMARTID, and the support staff member will be clear on the standards expected.
- The informal review period will be long enough to in order to achieve improvement to the required level of performance.

### **Transition to Capability Procedure (Teaching Staff)**

If at the end of the informal review period the teacher has not achieved the targets set and the appraiser is not satisfied with progress, the teacher will be notified in writing that the appraisal system will no longer apply and that their performance will be managed under the capability procedure. Please refer to HR001 (SCH) Teacher Capability Procedure for all Categories of School.

### **Transition to Managing Performance (Support staff)**

If at the end of the informal review period the support staff member has not achieved the targets set and the appraiser is not satisfied with progress, they will be notified in writing that the appraisal system will no longer apply and that their performance will be managed under the Managing Performance Policy and Procedure (HR006).

## **8. ANNUAL ASSESSMENT**

### Teaching Staff

- Each teacher's performance will be formally assessed in respect of each appraisal period.
- In assessing the performance of the Head teacher, the Governing Body must consult the external advisor.
- This assessment is the end point to the annual appraisal process, but performance and development priorities will be reviewed and addressed on a regular basis throughout the year in interim meetings which take place (eg once a term).
- Achievements should be rated in accordance with the following definitions:

'highly competent'

performance which is not only good but also good enough to provide coaching and mentoring to other teachers, give advice to them and demonstrate to them effective teaching practice and how to make a wider contribution to the work of the school, in order to help them meet the relevant standards and develop their teaching practice

'substantial'

of real importance, validity or value to the school; play a critical role in the life of the school; provide a role model for teaching and learning; make a distinctive contribution to the raising of pupil standards; take advantage of appropriate opportunities for professional development and use the outcomes effectively to improve pupils' learning;

'sustained'

maintained continuously over a long period

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.

- A recommendation on pay must be made in writing as part of this appraisal report; any recommendations should therefore be discussed with the teacher at the appraisal review meeting and recorded in writing in the documentation provided to the teacher at the end of the meeting. The relevant body should have regard to this recommendation and, if the recommendation is not to award pay progression, the relevant body should confirm whether the rationale for this has first been made clear to the teacher during the appraisal process and in the appropriate review meeting. There is a clear expectation in the STPCD that good performance should lead to pay progression and the schools pay policy should define what constitutes good performance in the context of the school circumstances. Where a teacher does not receive pay progression an important part of the feedback will be to outline the evidence that was taken into account to support this decision, and to explain how any development issues can be addressed.
- The school will determine dates by which Teachers and the Head teacher will receive their written appraisal reports. 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 Head teachers and by 31 October for other teachers);

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

### Support staff

- Support staff members will be appraised at least once per year.
- The annual appraisal discussion will include a:
  - review of the previous year recognising key achievements and contributions to the school.
  - discussion of the employee's own assessment of their performance
  - review of the objectives set and agreement of objectives for the next appraisal period.
  - discussion regarding development needs.
- The appraisal discussion is an opportunity for an open discussion between the manager (appraiser) and the employee. It should be supportive, and positive in nature.
- It is not appropriate to raise performance issues during the appraisal discussion if these have not been raised with the individual before.
- A support staff performance appraisal form will be completed and will be signed by the manager and employee.

- If there is any disagreement with the judgement the employee should be given the opportunity to record their comments.
- A copy of the written record should be given to the employee and a copy kept on personal file.

## 9. CONFIDENTIALITY

The appraisal process including regular 1:1s and the annual appraisal discussion should be kept confidential by the line manager / appraiser and the employee.

The Governing Body and Head teacher will ensure that all written appraisal records are retained in a secure place on the employee's file for six years and then destroyed.

## 10. EQUALITY & CONSISTENCY

- All appraisal documentation will be kept confidential and the contents of the discussion will remain confidential between the line manager / appraiser and the employee, and other relevant senior member(s) of staff (as agreed with the appraisee). With the agreement of the appraisee, documentation may also be provided to the appropriate trade union representative.
- The Head teacher will be responsible for the quality assurance of the appraisal process and will ensure that there is equality and consistency at all stages of the process.
- Head teachers need to ensure moderation of initial recommendations with a view to putting individual pay progression recommendations to governing body for agreement and so as to account to them overall for the effective operation of links between pay and performance.
- Where a school has more than 1 appraiser (other than the Head teacher) the Head teacher may be the moderator.
- Schools should refer to the DfE Guidance Document "Implementing your School's Approach to Pay" 2019 page 15 for further information regarding the Equality Act 2010.
- Schools should also refer to the DfE Document "Making Data Work" [Click here for link to 'Making Data Work'](#)

## 11. COMPLIANCE

- Failure to follow this procedure may impact on good employee relations and the reputation of the School and Governing Body as a good employer. In addition, it may result in the Governing Body breaching employment legislation, incurring financial penalties and / or damage to its reputation.
- It is the Head teacher's duty to ensure that the appraisal process for their staff is managed in accordance with this policy, and in-line with Head teacher standards (section 10).

## 12. IMPACT ON THE SCHOOL'S KEY PRIORITIES

The policy provides clear statements about Head teacher and employee responsibilities to ensure that capability issues are raised and dealt with in a timely manner. This procedure supports schools in delivering excellent teaching and learning and enables the Governing Body to effectively meet its key school priorities.

## 13. TRAINING AND AWARENESS REQUIREMENTS

Head teachers and employees will be informed about this policy and procedure via communication channels such as school newsletters, schools online and the extranet.

## 14. MONITORING

- Human Resources Services is responsible for ensuring the review of this policy and procedure.
- The Governing Body is responsible for adopting and implementing this policy and procedure.
- The Governing Body and Head teacher will monitor the operation and effectiveness of the school's appraisal arrangements.

- HR Services and the Learning & Achievement Team will be notified of any cases where it is concluded that the policy was breached. The notification will indicate whether there are any changes or improvements required to the policies, procedure, training, support or any other aspect of the school's approach to grievance matters.

## **15. REVIEW**

This document will be reviewed annually and kept up to date to take account of any uplift to the national framework and any legal changes or change to the staffing structure which have an impact on discretionary pay decisions. Teachers and representatives of recognised unions should always be consulted on formulating the policies and any changes to them.

## APPENDIX 1 – DEFINITIONS & RESPONSIBILITIES

The meaning of some key words and phrases, for the purposes of this policy, are explained below:

**Class Room Teacher.** A qualified teacher who is not a member of the leadership group or on the pay range for leading practitioners

**Work Colleague.** A current employee from the individual's workplace or by mutual agreement, a current employee from another workplace.

**Head teacher.** The person responsible for leading and managing the school, and has delegated powers to ensure capability issues are appropriately managed. References to the Head teacher shall include any nominated Deputy Head teacher acting on his / her behalf. Head teachers are responsible for making employees aware of this policy. Head teachers are responsible for ensuring that appraisal discussions are carried out effectively, and for monitoring adherence to the appraisal policy and procedure. Head teachers are responsible for ensuring that managers are trained in order to carry out appraisals

**Appraiser.** The person or panel who sets and monitors objectives and undertakes the appraisal.

**Trade Union representative.** A trade union representative ('rep') is a union member who represents and gives advice to colleagues when they have problems at work. A 'rep' may also discuss any concerns relating to the employer, accompany employees to formal hearings, represent employees in negotiations (pay/terms and conditions), development Health & Safety procedures with the employer and meet with the employer on behalf of the employee(s) to find workplace solutions

**Working days.** Any designated term-time or Teacher Education Training Day or any other contractual working day, but excluding the day of any capability meeting and the day on which the notification of the meeting is sent to the employee.

**LA.** Local Authority

**SMARTID.** Principles of setting objectives. **S**pecific, **M**easurable, **A**chievable, **R**ealistic, **T**ime-bound, **I**mpactful and **D**ifferentiated.

**QTLS.** Qualified Teacher Learning and Skills.

**QTS.** Qualified Teacher Status.

**CPD.** Continuous Professional Development

**Employees** are responsible for participating in appraisal review of their own development and progress towards agreed objectives. All employees should ensure that relevant documentation is completed with the line manager/reviewer.

**Governing Bodies** are responsible for establishing arrangements for performance management and appraisal. Governing bodies are responsible for ensuring that the appraisal policy and procedure is embedded within the school and all employees have an annual appraisal discussion.

**Human Resources Services** is responsible for providing timely and appropriate advice and support to the Head teacher or Governing Body as required. They are not responsible for making decisions in relation to this procedure; these remain the responsibility of the Head teacher and Governing Body. Human Resources Services is accountable for the advice they give.

**Learning & Achievement Team** is responsible for providing support and guidance to Head teachers and Governing Bodies on identifying, monitoring and resolving teacher capability issues.



## APPENDIX 2 –MAKING DATA WORK

Head teachers and Line Managers should be mindful of the document Making Data Work, [click here](#), when setting objectives. Particular attention should be given to the following extract from page 17 of the guidance. Implementing your school's approach to pay should also be reviewed and was updated in light of Making Data Work in 2019.

### Teacher performance management

Teachers should have goals that are within their control, that are closely tied to genuinely actionable behaviours, and that are aspirational yet achievable. School and trust leaders should also consider the burden of gathering evidence for performance management, and whether their approach is proportionate for all staff, including trainees and newly qualified teachers.

Individual performance of pupils in tests is due to a range of factors and this should be recognised. Assessments are designed to evaluate, measure and report the progress and attainment of pupils, rather than evaluate the performance of teachers. Trying to hold teachers to account for assessments that they typically administer themselves undermines effective assessment and risks unduly distorting curriculum and classroom practice. The performance of a single exam class should also not be used as a principal measure of teaching quality in a performance management system, not least because it can distort the focus of teachers away from other classes. The exam performance of a class depends on many factors, most of which are outside the control of the person who happens to have them in their final year. **This is why pay progression should never be dependent on quantitative assessment metrics, such as test outcomes.**

While data based on commercially produced predictions can play a helpful role in informing professional conversations about pupil achievement and the work of teachers, these systems produce ranges of grade estimates and inaccurate grade targets, and should therefore not be treated as accurate targets. Ofsted have clarified that inspectors do not expect school and trust leaders to set teacher performance targets based on commercially produced predictions of pupil achievement, or any other dataset, from which they would then hold teachers to account. Targets should be achievable and meaningful.

Current practice in using pupil attainment data in teacher performance management systems is often poor. Research demonstrates that using quantitative metrics to judge teacher performance is difficult since few of the practices that we can straightforwardly codify and measure are highly correlated with teacher quality. Pupil assessment scores, grades in lesson observations, and scores following book scrutiny are all quite poor proxies for whether or not somebody is teaching well.

Suitable teacher performance goals include those related to their classroom instructional practices, their contributions to the development of school curriculum and the relationships they uphold with pupils, colleagues and parents. If teachers are held to account for things that are largely outside their own control, such as a pupil's test performance or progress based on flight paths, it is not only unfair, but induces high levels of stress and is likely to lead to burnout and ultimately attrition from the profession.

## APPENDIX 3 – SETTING OBJECTIVES

Some top tips to shape your approach to staff appraisals

- Schools should not rely on a single approach to teacher appraisal or evaluation, but should consider using a mix of evidence
- A clear system should be developed for teacher appraisal that is implemented fairly and consistently for all teachers
- Appraisal and evaluation should focus on classroom activity, but teachers' contributions to extra-curricular activities, including sports clubs and trips, should also be recognised
- Pupil surveys should be clearly structured and age-appropriate, and should complement other measures

### 1. Using pupil progress to set appraisal objectives

1.1. Although it's not required, schools can use pupil progress to help set teacher performance objectives. More about the legal requirements and how to use the data in a meaningful way.

Last reviewed on 1 March 2022

School types: All · School phases: All

Contents

1. [You don't need to use pupil progress to set appraisal targets](#)
2. [Don't link pupil progress targets directly to pay](#)
3. [How to set performance objectives based on pupil progress](#)

### 1.2. You don't need to use pupil progress to set appraisal targets

Appraisal of teachers in maintained schools and unattached teachers employed by a local authority must follow the [Education \(School Teachers' Appraisal\) \(England\) Regulations 2012](#). Under the regulations, you're not required to use pupil progress targets to set teachers' performance objectives. Instead, they explain that any objectives you do agree must:

- Contribute to improving the education of pupils
- Contribute to the implementation of any governing board plan designed to improve educational provision and performance.

Academies do not have to follow the appraisal regulations, but the DfE says (see page 4 of its [model appraisal policy](#)) that it's good practice to do so. Academy trusts set their own performance management policies and can choose whether or not to link teachers' appraisal to pupil progress.

**Some unions have expressed reservations around setting performance targets based on pupil progress.**

- The NEU warns teachers to be wary of agreeing objectives on percentage target increases in tests or examinations (read the 'Opposition to numerical targets' section [here](#))
- NASUWT advises against using data-based pupil performance targets to set objectives for teachers (go to question 'ii' in [this article](#))

A teaching union may challenge a school's decision to set numerical objectives.

### **1.3. Don't link pupil progress targets directly to pay**

Individual performance of pupils in tests is due to a range of factors and this should be recognised.

If you do decide to use pupil progress objectives in teacher appraisal, do not link them directly to pay.

Objectives and performance management discussions should not be based on teacher generated data and predictions, and school and trust leaders should not make pay progression for teachers dependent on the assessment data for a single group of pupils. You can consider numerical objectives when making a recommendation for a teacher's pay award but you should not award pay based on the percentage of a target that has been achieved. The school should not, for example, award 10% of a possible pay award if the teacher improves 10% of targeted pupils' achievement.

### **1.4. How to set performance objectives based on pupil progress**

Line managers must be very careful about how they construct objectives, and take individual circumstances into account. Always reflect the specific context of your school, the pupils and the teacher.

If you do decide to set pupil progress objectives and use them for teacher appraisal, you should do the following.

Teachers should have the chance to challenge the use of inappropriate evidence, (for example, raw numerical data).

#### **1.4.1. Agree SMART and appropriate targets**

If you are using pupil progress-related objectives, these may be 'SMART'. Look at current pupil attainment and consider realistic improvements you would like to see within a set time frame, then use these to inform objectives.

#### **1.4.2. Reflect how you measure attainment**

Your definition of progress should use the same vocabulary and terms as the assessment system you use.

'Good' progress is usually taken to mean progress above the national expectations. It is important to define good progress within the context of your school, and using specific school data.

For example, your school may measure attainment by looking at whether pupils:

1. Do not meet age-related expectations
2. Meet age-related expectations
3. Exceed age-related expectations

In this case, the percentage of pupils who are meeting or exceeding expectations can be used to set a target for future attainment. The target would specify a certain percentage of pupils who should meet or exceed expectations within a set timeframe.

#### **1.4.3. Take pupil variation into account**

Some groups, such as pupils from disadvantaged backgrounds or those with special educational needs (SEN), tend to progress more slowly than their peers between Key Stage 2 and Key Stage 4. Others may have gaps in learning from previous poor teaching or periods of absence. Objectives should take these variations into account.

#### **1.4.4. Consider measuring progress qualitatively**

If your school doesn't use levels to measure pupils' attainment, consider a qualitative – rather than a quantitative – approach.

Qualitative objectives can include:

- Pupils' ability to meet performance descriptors
- The expectations of the National Curriculum
- Identifying and targeting gaps in pupils' knowledge and skills

As with objectives based on levels, you must take into account the needs and abilities of each intake when setting objectives.

#### **1.4.5. Be flexible in setting objectives**

- Consider grouping expectations across year groups. For example, in non-core subjects, expectations for years 3 and 4 or years 5 and 6 could be similar
- Try to ensure objectives are more about depth of pupil understanding than a level or a grade
- Look at the progress of particular groups of pupils or individuals; for example, pupils eligible for the pupil premium, or pupils with SEN
- Remember that other factors – not only the teacher – affect pupil progress
- Take interventions used, or managed by, the teacher into account as well, as some pupils may take longer than others to understand a concept
- Don't stick too rigidly to numerical targets, if you use them
- Consider linking objectives to the school and/or departmental development plans.

Suitable teacher performance goals include those related to their classroom instructional practices, their contributions to the development of school curriculum and the relationships they uphold with pupils, colleagues and parents. If teachers are held to account for things that are largely outside their own control, such as a pupil's test performance or progress based on flight paths, it is not only unfair, but induces high levels of stress and is likely to lead to burnout and ultimately attrition from the profession (Making Data Work p 17)

## APPENDIX 4 - LESSON OBSERVATION FORM BASED ON THE OFSTED INSPECTION CRITERIA

Use this form to help you conduct lesson observations. The criteria are not 'cut and paste' from the [inspection handbook](#) - instead, they are a practical interpretation of the Ofsted grade descriptors for the quality of education.

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### How to use this form

- You should use the Ofsted criteria as a **reference point** and not as a scoring system or a checklist. Remember, Ofsted doesn't grade lessons and doesn't expect you to either. For the best results, use the form once you've **decided on a particular focus** for your lesson observation

LESSON DETAILS			
Teacher:		Observer:	
Class:	Year:	Date:	
Support staff or teaching assistants (TAs):			
Focus:		Context:	
Summary of main points:			
Key strengths:			

## LESSON DETAILS

Areas for development:

Is any follow-up required? YES/NO

If 'YES', outline required action:

Action completion date:

Employee Comments:

## APPENDIX 5 - OBSERVATIONS WITH REFERENCE TO OFSTED CRITERIA

FOCUS AREA	OUTSTANDING	GOOD	REQUIRES IMPROVEMENT	INADEQUATE
<b>Intent</b>	<ul style="list-style-type: none"> <li>• 'Good' criteria are consistently and securely met</li> <li>• The teacher demonstrates a firm and common understanding of the school's curriculum intent</li> <li>• Work given to pupils over time matches the aims of the curriculum</li> <li>• Work is coherently sequenced so that pupils accumulate sufficient knowledge and understanding and skills to secure future learning</li> </ul>	<ul style="list-style-type: none"> <li>• Sequences of learning are coherently planned to build cumulative knowledge</li> <li>• Sequence of learning meets the needs of disadvantaged pupils and those with SEND</li> <li>• The learning planned is ambitious for all pupils including the disadvantaged and those with additional needs or disabilities</li> </ul>	Any aspect that does not meet the criterion for 'good' will 'require improvement'	<ul style="list-style-type: none"> <li>• There is little evidence of structure and coherence in the sequence of work</li> <li>• Sequence of learning is jumbled and does not build knowledge, skills or understanding</li> </ul>
Evidence and comments:				
<b>Subject knowledge and understanding</b>	<ul style="list-style-type: none"> <li>• 'Good' criteria are consistently and securely met</li> </ul>	<ul style="list-style-type: none"> <li>• The teacher demonstrates good subject knowledge (i.e. they understand the component knowledge required, and they know how to check for common misconceptions and how to correct them)</li> <li>• Subject matter is presented clearly, promoting appropriate discussion</li> </ul>	Any aspect that does not meet the criteria for 'good' will 'require improvement'	<ul style="list-style-type: none"> <li>• Pupils' experiences in the lesson contribute weakly to their learning</li> </ul>

FOCUS AREA	OUTSTANDING	GOOD	REQUIRES IMPROVEMENT	INADEQUATE
Evidence and comments:				
<b>Assessment and feedback</b>	<ul style="list-style-type: none"> <li>• 'Good' criteria are consistently and securely met</li> </ul>	<ul style="list-style-type: none"> <li>• Pupils' understanding is checked systematically</li> <li>• Misconceptions are accurately identified</li> <li>• Clear, direct feedback is provided</li> <li>• Teaching is adapted as necessary to provide for the learning needs within the group</li> <li>• Information from assessments is used well, to check understanding and inform teaching</li> </ul>	Any aspect that does not meet the criteria for 'good' will 'require improvement'	<ul style="list-style-type: none"> <li>• Pupils' experiences in the lesson contribute weakly to their learning</li> </ul>
Evidence and comments:				
<b>Use of resources</b>	<ul style="list-style-type: none"> <li>• 'Good' criteria are consistently and securely met</li> </ul>	<ul style="list-style-type: none"> <li>• Pupils can remember necessary information from previous lessons in order to integrate the current learning</li> <li>• Resources used clearly support the accumulation of knowledge and skills in an ambitious curriculum</li> <li>• Work given to pupils is demanding and supports their learning</li> <li>• Remote learning is well integrated into the programme of study</li> </ul>	Any aspect that does not meet the criteria for 'good' will 'require improvement'	<ul style="list-style-type: none"> <li>• Pupils' experiences in the lesson contribute weakly to their learning</li> </ul>



FOCUS AREA	OUTSTANDING	GOOD	REQUIRES IMPROVEMENT	INADEQUATE
		and well designed to support pupils' learning <ul style="list-style-type: none"> <li>• Reading and literacy are developed in a manner consistent with the school's policies</li> </ul>		
Evidence and comments:				
<b>Impact</b>	<ul style="list-style-type: none"> <li>• 'Good' criteria are consistently and securely being met</li> <li>• Pupils consistently achieve highly, particularly the most disadvantaged</li> <li>• Pupils with SEND achieve particularly well</li> <li>• Pupils' work is consistently of high quality</li> </ul>	<ul style="list-style-type: none"> <li>• Pupils develop detailed knowledge and skills over time. As a result, they achieve well</li> <li>• Pupils with SEND achieve the best possible outcomes</li> <li>• Pupils are able to communicate their learning appropriately: verbally, in writing and using mathematical forms where appropriate</li> </ul>	Any aspect that does not meet the criteria for 'good' will 'require improvement'	<ul style="list-style-type: none"> <li>• Pupils cannot communicate their learning appropriately</li> <li>• Progress of disadvantaged pupils is well below that of other pupils</li> <li>• Pupils with SEND do not achieve as well as they should. Expectations are low and their needs are not met</li> </ul>
Evidence and comments:				

## APPENDIX 6 - Version log

Version	Status	Date	Description of change	Reason for change	Pages affected
5.0	Final		New format	New format	All
6.0	Draft		Addition of appendix 3 - Layered objectives	Annual Review	24-32
7.0	Draft	30/10/2018	Added bullets to 3.1, 3.2 ,3.3 and section 7. Updated consultation log & amended policy review to annual. Added link to "Making Data Work"	Union feedback	3,4,9,14
8.0	Draft	04/09/2019	Added "Making Data Work" amendments from union meeting	Union feedback	
9.0	Draft	10/09/2019	Review as last years' amendments were not given final sign off		All
10.0	Draft	06/10/2021	Minor amendments/ annual check	Annual Review	All
11.0	Draft	11/10/2022	Minor amendments/annual review. Removal of Career Expectations Guidance into new standalone document.	Annual Review	All