



## **Teachers' Appraisal Policy**

### **Review: Every two years**

<b>Date</b>	<b>HT</b>	<b>Chair</b>	<b>Date of next review</b>
24.01.24	M Hibbert	C Glynn	Jan 2026

## **Introduction**

This policy sets out the framework for a clear and consistent assessment of the overall performance of teachers, including the head teacher, and for supporting their development within the context of the school's plan for improving educational provision, performance and the standards expected of teachers.

The school is committed to providing high quality professional development that supports pupils in achieving their potential. The policy is intended to reflect the principles of fairness, equity and confidentiality.

In accordance with the School Teachers' Pay and School Teachers' Pay and Conditions Document (STPCD) 2013, decisions regarding the pay progression of teachers will be made on the basis of performance, with reference to the teachers' appraisal reports and the pay recommendations they contain.

The policy applies to the head teacher and to all teachers employed by the school, except those on contracts of less than one term, those undergoing an induction period, in accordance with the induction arrangements for school teachers (i.e. Newly Qualified Teachers), and those subject to the Formal Competence Procedure.

This policy is complemented by the School's Pay Policy which details arrangements relating to the determination of teachers' pay, in accordance with the STPCD. The pay policy contains the procedure for appeals against pay decisions.

The appraisal procedure will address any concerns that are raised about a teacher's performance. If the concerns cannot be resolved through this process there will be consideration of whether to commence the formal competence procedure. This Appraisal Policy dovetails with the School's procedure for dealing with situations where a teacher's level of competence falls below expectations, as detailed in the appendix 'Teachers Experiencing Difficulty- Advice on Informal Structured Support and Monitoring' and the adopted Formal Competence Procedure.

Support staff are entitled to a broadly similar appraisal process, entitling them to appropriate development.

## **Guiding principles**

In its oversight of the appraisal system, the governing body 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 Data Protection Act 1998.

The purpose of the appraisal meeting is to review the employee's current job, their performance and their future plans. More specifically, the meeting will also be an opportunity to discuss how the employee can contribute to the wider work of the school and to agree and set a number of objectives.

The head teacher will moderate a sample of the planning statements to check that the agreed plans are consistently weighted between employees who have similar levels of responsibility and that the plans comply with the school's appraisal policy.

The appraisal process and the supporting documentation will be treated with strict confidentiality at all times. Only those who need access to such information will be granted access to enable them to discharge their responsibilities as directed by the school. The governing body will monitor the operation of the appraisal system and review it at appropriate intervals.

### **The Appraisal Period**

The appraisal period will be for 12 months and will begin on 1 September; it must be completed by 31 October for teachers and for support staff and by 31 December for head teachers. The cycle will begin with a Planning Meeting and will end with a Review Meeting. Termly review meetings will also be held.

Where a teacher starts their employment or transfers to a new post within the school part way through a performance management cycle, the head teacher, or in the case where the employee is the head teacher, the governing body, shall determine appraisal arrangements for the remainder of the appraisal period, with a view to bringing their cycle into line with the cycle for other teachers and staff as soon as possible.

Where a teacher is employed on a fixed term contract for a period less than 12 months, the length of the appraisal period will be determined by the duration of the contract.

### **The Appraisers**

All appraisers, including allocated members of the governing body, should be provided with appropriate training.

#### ***For the head teacher***

The governing body is the appraiser for the head teacher, and to discharge this particular responsibility on its behalf, will appoint 3 governors, appointed by the school's Resource Management Committee. Headteachers can raise an objection to the chair of governors, in writing and with good reason, outlining why an appointed governor should be excluded from the appraisal process.

The governing body of a school must appoint an external adviser for the purposes of providing it with advice and support in relation to the appraisal of the head teacher. The qualifications and experience required of an external adviser are not set by regulation. It is for the governing body to decide who they wish to use as an external adviser, ideally with the agreement of the head teacher.

The external adviser is not responsible for determining a recommendation to the Pay and Personnel Committee on whether an increment should be paid to the head teacher, following the review; this is a matter for the governor's panel alone. However, governors can ask for advice and should take account of any advice offered.

#### ***For all other employees***

The head teacher is responsible for the appraisal of all other employees but may delegate this responsibility to others who will normally have line management responsibility for those they appraise.

**Support staff will be appraised by the school's Head Teacher.**

Teaching staff should be able to object to the appointment of an appraiser, on professional grounds, in writing to the head teacher who will consider this and make a decision. Where the objections are rejected by the head teacher, the teacher should be advised in writing.

### **Purpose**

This policy sets out the framework for a clear and consistent assessment of the overall performance of teachers and support staff and for supporting their development needs within the context of the school's improvement plan.

### **The Appraisal**

The governing body of a school must appraise the performance of a head teacher. In turn, the head teacher of a school is responsible for ensuring the review of the performance of every other teacher and member of support staff employed at the school.

Appraisal meetings should be held during normal working hours and should be scheduled for at least one hour or longer if necessary.

### **Objective setting**

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. The job description can be a particularly useful place to begin the process of identifying relevant objectives for each individual job holder. However, the job description is just one 'reference document' that can be helpful context to the process of setting and agreeing objectives. Other useful 'reference documents' may include the school improvement plan, the Ofsted School Inspection Report and the Teachers' Standards.

In addition, it may be prudent to allow for some flexibility in the setting and agreement of objectives to enable objectives to be set and agreed around issues that are emerging for the school and that require some dedicated attention that is best articulated as one or as a set of objectives. On the grounds that emerging issues are unlikely to be known at the outset of an appraisal period, objectives may need to be adjusted throughout the appraisal period so that they remain relevant to the performance of the individual and to the priorities of the school. This is considered to be perfectly standard practice; the ideal outcome for all parties is that the overall weight of objectives is broadly or proportionately the same at the conclusion of any subsequent 'objectives' discussion.

Objectives should be CSMART

C = Challenging  
S = Specific  
M = Measurable  
A = Achievable  
R = Relevant  
T = Timed

Objectives should also be fair and equitable when judged across employees with similar roles and responsibilities. However, appraisal objectives will normally become more challenging as a teacher progresses up the main pay scale.

The governing body of a school must, before, or as soon as practicable after, the start of each appraisal period, in relation to a head teacher, inform the head teacher of the

standards against which their performance will be assessed and set objectives for the Head teacher for the appraisal period.

The head teacher of a school must, before, or as soon as practicable after, the start of each appraisal period, in relation to every teacher employed at that school, inform the teacher of the standards against which their performance will be assessed and set objectives for the teacher for the appraisal period. Head teachers may delegate this responsibility to the line manager cohort.

The objectives must be set such that they will contribute to the improvement of a school's educational provision and performance and appraisers will therefore be expected to align individual objectives with the school's priorities.

Every effort should be made to achieve agreement on the head teacher's objectives; only in the last resort, should targets be imposed on the head teacher. Similarly, all appraisers and appraisees should look to agree objectives; where agreement cannot be reached, the appraiser will make the final determination.

Objectives should focus on the priorities for the school or individual for the duration of the appraisal cycle. Normally, staff should expect to have no more than 3 objectives but there is no actual minimum or maximum number.

Objectives will be set out in a planning statement, along with details of any training and support which have been agreed. The planning statement should also specify the evidence that will be collected to support the review of performance including details of the arrangements for task or classroom observation, where relevant.

Objectives may be revised if circumstances change.

### **Teachers' Standards**

Under the appraisal arrangements that take effect from 1 September 2013, the performance of all teachers, regardless of their career stage, will be assessed against the Teachers' Standards. The standards define the minimum level of practice expected of trainees and teachers from the point of being awarded QTS.

The standards against which performance must be assessed in respect of a teacher are the set of standards articulated in the Teachers' Standards document and any other set of standards relating to teachers' performance published by the secretary of state as the governing body or head teacher determine as being applicable.

In order to meet the Teachers' Standards, a teacher will need to demonstrate that their practice is consistent with the definitions set out in Part 1 (Teaching) and Part 2 (Personal & Professional Conduct).

### ***Applying the Teachers' Standards***

Teachers make the education of their pupils their first concern and are accountable for achieving the highest possible standards in their work and their conduct. Teachers act with honesty and integrity, have strong subject knowledge and are self-critical. They forge positive professional relationships with those around them and work with parents in the best interests of their pupils.

## *Teachers*

The Teachers' Standards effectively set out a 'code' of good teaching practice and professional conduct and Weston-on-Trent C. of E. (Aided) Primary School expects all teaching staff to meet the expectations set out in the Standards document. Teachers are therefore evaluated against all the elements set out in the Teachers' Standards.

<https://www.gov.uk/government/publications/teachers-standards>

## *Head teachers*

Teachers' Standards may be applied to Head Teachers as well as to all other teachers. However, on the grounds that only a proportion of Head Teachers spend part of their scheduled week teaching, governing bodies should exercise particularly careful judgement when assessing Head Teachers against the Teachers' Standards. Support from the External Adviser will be important in this respect.

School should refer to National Standards of Excellence for Headteachers which provide 'a thought-provoking and developmental guide' to headship.

<https://www.gov.uk/government/publications/national-standards-of-excellence-for-headteachers>

## **Gathering the evidence**

As part of the overall appraisal process, it will be critically important for all members of staff who are subject to the school's staff 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'.

Judgements relating to performance should be supported by evidence, agreed at the beginning of the performance cycle. Evidence should show and demonstrate a contribution towards:

- an increasing positive impact in pupil progress;
- an increasing impact on wider outcomes for pupils;
- improvement in specific elements of practice, e.g. lesson planning;
- an increasing contribution to the work at the school;
- an increasing impact on the effectiveness of staff.

The evidence gathered by a member of staff will largely be determined by the nature and scope of the agreed objectives and / or the Teachers' Standards. Examples of evidence may include:

- classroom observations
- task observations
- reviews of assessment results
- reviews of lesson planning records
- internal tracking
- moderation within and across schools
- head teacher's walkabouts

- learning walks
- evidence supporting progress against Teachers' Standards

Any classroom or task observations will be carried out in accordance with the school's 'classroom and task observation protocol'. Classroom observation will be carried out by qualified teachers. At least 5 working day's notice of the date and time of the observation will be given and verbal feedback provided by the end of the next school day in a suitable private environment. Written feedback will be provided within 5 working days. The appraisee has the right to append written comments to the feedback document.

For appraisal purposes, the governing body is committed to ensuring that classroom and task observation is developmental and supportive and that those involved in the process will:

- carry out the role with professionalism, integrity and courtesy;
- evaluate objectively;
- report accurately and fairly; and
- respect the confidentiality of the information gained.

The arrangements for classroom / task observation will be stated in the appraisal planning statement and will include the amount of observation, specify its primary purpose, any particular aspects of the employee's performance which will be assessed, the duration of the observation, when, during the appraisal cycle, the observation is likely to take place and who is likely to conduct the observation.

Where evidence emerges about the appraisee's performance, which gives rise to concern during the cycle, additional observations may be arranged during the cycle.

The 3 hours statutory limit on classroom observations for appraisal has been removed; the government believes that head teachers and other appraisers should be free to decide how much observation is necessary for them to form an accurate assessment of a teacher's performance. However, a head teacher may determine that it is necessary to collect additional evidence to help inform the evaluation of teaching standards and school improvement strategies. This additional evidence may include walkabouts, task observation, reviews of assessment results and lesson planning records. It may not be practicable to provide advance notice of these additional monitoring activities.

### **Reviewing Performance and the Annual Assessment**

At the end of the cycle, assessment of performance will be on the basis agreed at the beginning of the cycle.

In determining an appraisal, the governing body or head teacher must assess the performance in the appraisal period, apply the relevant 'Standards', assess performance against the agreed objectives and assess the professional development needs and identify any action that should be taken and, finally, include a recommendation relating to pay.

It will be for individual schools to establish their own arrangements for determining the overall evaluation and rating of individual performance. Many schools may wish to continue to use their existing arrangements for evaluating and rating individual performance, applying the Teachers' Standards where appropriate. In their School Inspection Handbook,

Ofsted also provide some useful 'grade descriptors' that schools may find helpful in determining the overall assessment of teachers' performance.

A written appraisal report must be provided at the conclusion of the appraisal process – by 31<sup>st</sup> October for teachers and support staff and by 31 December for head teachers; the report must record the overall performance assessment and pay recommendation.

Good progress towards the achievement of a challenging objective, even if the performance criteria have not been met in full, may be assessed favourably. If agreement cannot be reached, especially on the outcomes of an appraisal meeting, the teacher may appeal to the head teacher or the head teacher may appeal to the chair of the governing body, whose decisions will be final.

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 head teacher with the approval of the governing body.

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 Data Protection Act 1998.

The governing body and head teacher will ensure that all written appraisal records are retained in a secure place for 6 years and then destroyed.

### **Continuing Professional Development**

The school's CPD programme will be informed by the training and development needs identified through the appraisal procedure. The governing body will ensure in the budget planning, that, as far as possible, appropriate resources will be made available for any agreed training, support and continuing professional development.

Support to meet individual or collective development needs should be provided within the context of the school's improvement plan.

### **Conflict of Interest**

In any circumstances where an individual believes that their participation in any part of the appraisal process amounts or may amount to a 'conflict of interest' they should declare this to their appraiser and / or absent themselves from any part of the appraisal process where they believe that a 'conflict of interest' would or is likely to prevail.

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

The governing body 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.

The relevant body 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 a teacher's performance.
- b. A pay recommendation must be made in writing as part of a teacher's annual appraisal report.
- c. Where a teacher is not subject to either the 2012 or the 2011 regulations, the relevant body 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.

The relevant body must set out clearly in the school's pay policy how pay progression will be determined. The head teacher 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).

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.

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. Teaching, learning and assessment should **be 'good', as defined by Ofsted.**

If the overall appraisal evidence shows that a teacher has demonstrated exceptional performance, the governing body will consider awarding enhanced pay progression.

Teachers will work with their appraisers 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.

### **Applications to be paid on the Upper Pay Range**

From 1 September 2013, 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. Teachers who have been absent through sickness, disability or maternity may cite written evidence over a 3-year period before the date of the application.

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 role 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 and have made good progress towards their objectives; they will have been expected to have shown that their teaching expertise has grown over the relevant period and is consistently good to outstanding.

### **Staff, especially teachers, experiencing difficulties**

When a member of staff is experiencing difficulties, support and guidance will be provided through the appraisal process. Where it is clear that a member of staff's personal circumstances are leading to difficulties at work, appropriate support should be offered at the earliest opportunity.

If long-term sickness absence appears to have been triggered by the commencement of monitoring or a formal capability procedure, the case will be dealt with in accordance with the school's absence policy and will be referred to the occupational health service who will assess the member of staff's health and fitness for continued employment and whether continuing with monitoring or formal procedures is deemed to be appropriate.

If the appraiser identifies through the appraisal process or through other sources of information, parental complaints for example, that the difficulties experienced by a teacher are such that, if not rectified could lead to the capability procedure, the appraiser will, as part of the appraisal process, meet the member of staff 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 remind the teacher that they have the right to be accompanied by a work colleague or trade union representative at any future meetings where capability will be discussed;
- agree and establish, in consultation with the teacher, an action plan with support that will help to remedy 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. 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, the teacher should be informed of this at a formal meeting and the appraisal process will continue as normal.

If no, or insufficient improvement has been made, the teacher will be invited to a transition meeting to determine whether formal capability proceedings will be invoked.

### **Transition to Capability**

Performance concerns should be dealt with through the staff appraisal policy but if progress towards addressing performance concerns is insufficient or the concerns are sufficiently serious, a 'transition meeting' should be held; the expectation is that this meeting will reduce the likelihood of invoking the capability procedure or triggering a prolonged period of sickness absence.

In this event, further support should be granted through the appraisal procedure or, alternatively, the employee will be advised to consider the relative merits of resigning their post before the formal capability procedure is invoked.

### **Capability Procedure**

This procedure complies with the provisions of the ACAS code of practice.

The capability procedure applies only to teachers and head teachers where there are serious concerns about their performance that are not able to be addressed by the appraisal procedure.

The purpose of a capability meeting is to establish the facts and will usually be chaired by either the chair of governors or the head teacher. The subject of the capability meeting will be able to respond to concerns about their performance and to present any relevant evidence.

### **Formal Capability Meeting**

At least 5 working days' notice will be given of the formal capability meeting. The notification will contain sufficient information about performance concerns and the possible consequences to enable the teacher to prepare to present their case at the meeting. The notification of a capability meeting will be accompanied by copies of written evidence, details of the date and time of the meeting and will confirm the teacher's entitlement to be accompanied by a companion who may be a work colleague or a trade union representative.

The chair of the capability meeting will aim to a) identify the teacher's professional shortcomings; b) give clear guidance on the improved standard of performance needed; c) explain any support that will be available to help the teacher improve to a point where they can be removed from the capability procedure; d) set out the timetable for improvement and explain how performance will be monitored and reviewed; and e) warn the teacher formally that failure to improve within the set period could lead to dismissal (in very serious cases, the warning could be a final written warning). Notes will be taken of the formal meeting and a copy sent to the member of staff.

## **Monitoring and Review Period following a Capability Meeting**

A performance monitoring and review period will follow the formal capability meeting.

### **Formal Review Meeting**

Following the conclusion of a monitoring and review period, the member of staff will be invited to a formal review meeting. At the formal review meeting, if the person conducting the meeting is satisfied that the teacher has made sufficient improvement, the capability procedure will end and the appraisal process will re-start. If some progress has been made and there is confidence that more is likely, it may be appropriate to extend the monitoring and review period. If no or insufficient improvement has been made during the monitoring and review period, the teacher will receive a final written warning.

### **Decision Meeting**

At the decision meeting, if an acceptable standard of performance has been achieved during the monitoring and review period, the capability procedure will end and the appraisal process will re-start. If performance remains unsatisfactory, a decision, or recommendation to the Governing Body, will be made that the teacher should be dismissed or required to cease working at the school (consulting the Local Authority in those schools where the Local Authority is the teacher's employer).

### **Dismissal**

Once the decision to dismiss has been taken, the governing body will dismiss the teacher with notice or once the governing body has decided that the teacher should no longer work at the school, it will notify the local authority of its decision and the reasons for it. The local authority must dismiss the teacher within 14 days of the date of the notification.

### **Appeal**

If a teacher feels that the decision to dismiss them is wrong or unjust, they may appeal in writing against the decision, setting out the grounds of the appeal. The teacher will be informed in writing of the results of the appeal hearing without unreasonable delay.

### **Monitoring and Evaluation**

The governing body and head teacher will monitor the operation and effectiveness of the school's appraisal arrangements.

The head teacher will provide the governing body with a written report on the operation of the school's appraisal and capability policies annually. The report will not identify any individual by name. The report will include an assessment of the impact of these policies on:

- Race
- Sex
- Sexual Orientation
- Disability
- Religion and Beliefs
- Age
- Part-time Status

- Maternity and Pregnancy

The head teacher will report on whether there have been any appeals or representations on an individual or collective basis on the grounds of alleged discrimination.

## **Appendix One:**

### **Appraisal- Teachers Experiencing Difficulties**

#### **Advice on Informal Structured Support and Monitoring**

The school's appraisal policy details the necessary process and steps to be taken to address any identified underperformance issues within appraisal. This document provides additional advice and guidance for schools in implementing informal structured support and monitoring for relevant teachers.

It is important that the 'Teachers Experiencing Difficulties' section of the Appraisal Policy is read first.

#### **Preamble**

1. Underperformance or lack of competence may affect teachers at all levels any time in their careers and such teachers are entitled to sympathetic consideration and active support from colleagues in the school. This procedure deals with identifying the nature of the problems, the needs of the teacher and establishing an appropriate support programme.
2. The nature of concern about performance or omission, its level of seriousness and cause(s), must be communicated at the outset to the teacher, investigated and identified by structured information gathering and systematic recording.
3. The Appraiser must inform the Headteacher when they develop concerns about the performance of a teacher, such that they are contemplating a review meeting to consider implementation of a structured support and monitoring programme. Likewise, a Headteacher or senior leader who identifies significant concerns about a teacher's performance should ensure the appraiser is informed and that appropriate measures are taken.
4. The Headteacher will need to ensure that the Appraiser has the necessary knowledge, skills and experience to determine an appropriate structured support and monitoring programme and its implementation. The Headteacher should review whether:
  - the appraisal process has been operated fairly and appropriately so far
  - whether the teacher has received appropriate, timely feedback and clarity on the expected standards of performance and
  - relevant CPD, through the performance management process and provision linked to school priorities (SIP)

in recent cycle(s).

5. The Headteacher should ensure that the teacher is involved in determining an appropriate support programme. It should be stressed that the aim of the support programme is to help the teacher to improve and develop the performance of his/her duties in the interests of the pupils, teacher and the school as a whole. Ideally the action plan should be agreed with the teacher.

6. Advice on these procedures may be sought from the CAYA HR Advice and Guidance Service (for subscribing schools), at this stage.

### Identifying the Problems

1. Where there is any concern about a teacher's professional performance it is necessary, at the outset, to identify any specific problems being encountered by the teacher.

2. Where there is evidence from a G.P. and/or the Authority's Occupational Health Physician that health may be a factor impairing work performance, their advice will be sought:

- To ensure the teacher is fit for work and the duties of a teacher
- To seek recommendations as to whether any reasonable adjustments should be considered to enable the teacher to fulfil their duties.

3. Consideration should also be given to whether there are any other school policies or procedures which are relevant to the circumstances and that they are applied appropriately.  
(eg Stress Management, Management of Sickness Absence)

4 a) The appraisal process will be the key source of information that raises any concern and prompts a decision to investigate further. Annual, ongoing evaluation of a teacher's performance, in the context of the Teachers' Standards, conducted by the appraiser and through the teacher's self-evaluation, will clarify any areas of concern. Teachers will be assumed to be meeting the Teachers' Standards unless clear documented evidence to the contrary is provided.

b) Evidence of unsatisfactory teaching from an Ofsted Inspection or HMI visit may provide information about a teacher's performance which raises, or contributes to, the identification of a concern and/or the need to investigate further. It is acknowledged that this is only an example of the teacher's practise and may just relate to an aspect of performance. Therefore the decision to investigate and address a concern would only arise where there is other evidence that suggests there is an ongoing problem.

- c) Observation within the teaching situation by a senior member of staff and/or an Adviser may assist in clarifying the precise nature and origin of the difficulties. Where this is in addition to the observations identified within the original appraisal programme, these should be arranged in consultation with the teacher concerned wherever possible.
- d) Observation reports will be supplemented by all available information from the school's Quality Assurance systems and, in particular, pupil outcomes.

In assessing how serious are the identified performance concerns, impact on pupils' learning will be a key consideration. Performance concerns, in relation to additional responsibilities of teachers and senior leaders may also arise and would, likewise, need to be identified and evidenced.

5. It is important that the teacher knows at the outset what is expected of them. During the annual appraisal meeting the appraiser should check that the teacher is clear on:
  - the responsibilities of their job (is the Job description up to date?)
  - the standards expected in the job (Teachers Standards 2012 for all teachers, except QTLS holders, and Post Threshold, AST standards etc., where relevant)
  - the person to whom he/she is responsible for the job (line manager)

If the person specification for the job is available this would also help to clarify the competence requirements in terms of knowledge, skills and experience.

### Timescale

The timescale adopted will be in accordance with the seriousness of the identified underperformance. The period given within the Appraisal process for significant improvement to take place would normally be 10 weeks and not less than 6 weeks. (see Flowchart for overview)

It is strongly advised that an interim review is scheduled for around 6 weeks into the programme. This will enable the appraiser and teacher to establish whether expected progress is underway and whether any adjustments to the plan should be made. If the appraiser identifies concerns that reasonable progress is not being made they should inform the Headteacher, who is advised to take action as detailed in paragraph 5 below. This will involve initiating a new 10 week programme or, *in extreme cases, where there are health and safety concerns and the learning of pupils is jeopardised, a maximum of 4 weeks will be allowed for improvement to take place. The level of improvement would need to be such that the health and safety issues are resolved and learning is taking*



*place. Where this is not secured, a meeting will be called to consider the application of the Formal Competence procedure.*

Where there is evidence that sufficient improvement is taking place the programme of structured support and monitoring may continue for, up to, a total of 10 weeks aimed at securing performance at the expected standard.

### Action

1. Having identified any concerns about performance through everyday staff management and appraisal, a teacher should have the opportunity to explain the reasons for the concerns and have an opportunity to address the situation.
2. Details of any concern about performance will be brought to the teacher's attention. The Appraiser will record any action taken and the teacher's response when explanation is sought. The teacher will be informed that he or she has a responsibility to achieve a professionally acceptable standard. The teacher will be informed what is required, how their performance will be reviewed, the period of review, what support will be available and that application of the Formal Competence Procedure will need to be considered if there is insufficient improvement. Subsequent advice and support may achieve the desired and agreed changes in performance.
3. It is anticipated that most concerns will be dealt with through this management process and within appraisal.
4. Where the cause of the criticism or complaint concerning a teacher's professional competence continues, further action will be necessary to deal with the specific problems which are being encountered by the teacher and which are a cause of concern. If the teacher has not been willing to co-operate in addressing the concerns this may be regarded as misconduct, leading potentially to action under the school's disciplinary procedures.
5. The period of informal support and counselling should not go on for too long. The period of informal support should therefore be no longer than 10 weeks and less may sometimes be appropriate. There should be a clear indication of improvement. As noted above, an interim review should be held around 6 weeks into the plan. Where the appraiser then informs the Headteacher that little progress has been achieved, the head is advised to call a meeting outside of the appraisal process with the teacher, their representative and the appraiser. The head may be supported by their HR adviser.

The purpose of the meeting is for the head to assess the overall situation, receive the views of the teacher and their representative about the process they are undergoing and consider the wider context of the teacher and school. As a consequence, the head should review the process and plan for improvement. This meeting

enables the union representative to be fully informed of their member's situation, to advise their member accordingly and provide their professional input, including seeking to reach agreement on the objectives and monitoring arrangements, ensuring the programme of support is the most effective and relevant possible. As outlined above, two outcomes are possible:-

- a) Taking account of the additional information available, a revised 10 week programme should be adopted. It is good practice for this to be agreed with the teacher. During the programme for improvement an interim review with the teacher, appraiser, union representative and HR officer is advised. At end of the agreed period (normally 10 weeks), a further meeting outside of appraisal should be held with the same relevant parties to assess whether the changes have enabled the programme of support delivered to have been appropriate and robust. An assessment will be made of the teacher's progress.

If the standards are now being met, the normal appraisal process would then continue. If there has been significant improvement and standards are nearly met, the Headteacher has the option to instigate a further 6 to 10 week programme of monitoring and review to enable the teacher to fully meet agreed expectations and show these can be sustained.

- b) Alternatively, the Headteacher may assess that the situation is exceptional and so serious (as described above) that a 4 week programme to seek resolution of Health and Safety concerns and/or ensure that pupil learning is taking place should be applied.

## **Outcomes**

A formal review meeting will be held at the end of the adopted period of view and assessment, involving observation and collection of a range of other information illustrating the quality of performance. A firm conclusion should be reached and the outcome will be one of the following:

- i) Confirmation that the expected standards have been reached and that the normal appraisal cycle will continue.
- ii) Extension to the period of informal support to allow time for further improvement. This would be appropriate where significant improvement has been demonstrated, yet further development in performance is necessary to meet all the required standards and for the teacher to demonstrate they can sustain these independently. The extension would be of

6 to 10 weeks in length. The Appraiser/Headteacher will take account of any previous extensions to the programme of support and monitoring.

- iii) The calling of a formal meeting to consider the implementation of the Formal Competence Procedure. (details of the requirements to fulfil and guidance on arrangements can be found in both the Appraisal Policy and Competence Procedure)

## **Making it work**

### Identifying the Problems

The following may help in determining what exactly is contributing to the performance issues and thus the considerations that should inform any action to address.

- What is the wider context – the school's situation, turbulence, vulnerability to Ofsted judgement?
- New leadership in the school or new Appraiser? How robust/shared are judgements and strength of school's Quality Assurance processes?
- Individual teacher – new to school or to role? Career stage and previous 'judgements'/indicators of performance? Is this the first time any issues have been raised in any way? Has something changed suddenly or over time? Has all feedback from various sources been accurate, fair and honest (in terms of what is included or significant omissions)?
- Individual teacher- personal circumstances (where shared by teacher), health issues, commitment demonstrated to their role and the school, self-evaluation?
- What are relationships like between colleagues and what support is available within the school? Are all teachers clearly subject to the same expectations?

### Action

- ✓ Headteacher ensures Appraiser is suitable for the circumstances and has mentor support.
- ✓ Teachers' Standards are a regular reference point in the school and staff know what meeting the teaching standards looks like in terms of the day to day practice in the school (not treating them as a checklist), using the school's own systems/policies. (E.g. Teaching and Learning Policy, assessment routines and moderation, behaviour procedures etc.)
- ✓ A richness of data is used to identify specifically what needs to improve.
- ✓ An action plan format would facilitate the detailing of the necessary components of the support and monitoring process, with a range of

evidence and concrete success criteria to ensure clarity of expectations for all parties.

- ✓ The original appraisal objectives may be revised or elaborated and broken down into actions.
- ✓ A systematic, incremental approach is recommended.
- ✓ Listen to what the teacher thinks about the type of support/training they find most helpful in determining what, of the available choices, should be incorporated into the plan. Familiarity in the school with self-evaluation, peer working, coaching and the use of leading professionals to develop other's practise will broaden the strategies available. Cluster and other networks may provide other sources of support.
- ✓ Strongly advise the teacher to consult with their union/professional association for advice/guidance on making best use of the programme of structured support and monitoring during appraisal. They could share the plan with their representative and bring back any suggestions for consideration. The involvement of the union/professional association is usually very helpful in ensuring the action taken is appropriate and as effective as possible. In exceptional cases the union may have a concern about the way the process is being applied and, in these circumstances should request a meeting with the Headteacher. The head should then seek advice from CAYA HR Advice and Guidance Service in assessing whether any revisions should be made. Use of a meeting called by the head, outside of the appraisal process enables all information and views to be considered by the head in ensuring the process being applied to the teacher is fair and robust. Should a formal meeting to consider entry into the Competence Procedure then subsequently be necessary, it is less likely that issues will emerge that require the earlier steps to be repeated.
- ✓ Build in regular, constructive feedback throughout the programme so that success is recognised and built upon, the effectiveness of the support is monitored and amendments can be considered as soon as is necessary.
- ✓ Allow time for the support to be digested by the teacher, for reflection with the person providing support and for further development/embedding of the improvement to practise. An initial period for improvement of around 6 weeks should be sufficient to demonstrate whether the process adopted is effective and any outstanding improvement still required is likely to be secured through a short extension to the plan.
- ✓ Ensure the teacher understands that models of good practise are provided to help them and illustrate how the desired pupil learning may be achieved but that it is their responsibility to take ownership of the process, such that their practise is effective in securing the learning of the pupils they teach.

- ✓ Although the role of the Appraiser, in setting/agreeing the plan with the teacher and assessing improvement, is separate from the teacher's mentor (who provides and manages support) they need to be very consistent in their understanding of the expectations sought.
  
- ✓ Consider whether further personal/welfare support is required.