

Policy Title:	Appraisal Policy Teachers	
Version:	1.0 – October 2020	
Date of Issue:	Summer Term 2021	
Date of Review:	Summer Term 2022	
Author & Role	County Model Policy Adopted	
Ratified by:	Governors Policy Committee	
Responsible signatory:	Chair: H McCann	Vice Chair: W Blundell
Date:	17.05.2021	
Amendments / Comments	Page 2 – Covid19 advice note. Page 9 – Review and Update of Appraisal system.	
Outcome:	This Policy: This policy sets out the framework for a clear and consistent assessment of the overall performance of teachers, including the Headteacher, and for supporting their personal and professional development within the context of the school's plan for improving educational provision and performance, and the standards expected of teachers/headteachers.	
Cross Reference:	Capability Policy Confidentiality Policy Pay Policy	

EQUALITY AND DIVERSITY STATEMENT

Astley Park School is committed to the fair treatment of all in line with the Equality Act 2010. An equality impact assessment has been completed on this policy to ensure that it can be implemented consistently regardless of any protected characteristics and all will be treated with dignity and respect.

POLICY REVIEW

To ensure that this policy is relevant and up to date, comments and suggestions for additions or amendments are sought from users of this document. To contribute towards the process of review, please contact the author of the policy.

LANCASHIRE COUNTY COUNCIL

**MODEL APPRAISAL POLICY FOR
TEACHERS IN DELEGATED SCHOOLS (OCTOBER 2020)**

The Governing Board of Astley Park School adopted this policy on 17.05.2021. The policy will be reviewed on an annual basis.

This Policy has been developed in consultation with the recognised Teacher Trade Unions. However, some Teacher trade union representatives have confirmed that they do not fully agree with the full content of the Policy.

In light of the impact of the **Covid-19 pandemic** on schools, an advice note on ['teacher appraisal -- making decisions for the 2019-20 academic year'](#) is available on the schools portal.

1. PURPOSE

- 1.1 This policy sets out the framework for a clear and consistent assessment of the overall performance of teachers, including the Headteacher, and for supporting their personal and professional development within the context of the school's plan for improving educational provision and performance, and the standards expected of teachers/headteachers.
- 1.2 The appraisal policy will be used to address any initial concerns that are raised about a teacher/headteacher's performance. If concerns are such that they cannot be resolved through this appraisal process, then consideration of whether to commence the capability procedure will be made.

2. APPLICATION

- 2.1 This policy applies to the Headteacher and to all teachers employed by the school, except those on contracts of less than one term, those undergoing induction (ie NQTs) and those who are subject to the Capability Policy.
- 2.2 Separate arrangements exist for the appraisal of school support staff <https://www.astleypark.lancs.sch.uk/school-info/policies>

3. STATEMENT OF INTENT

- 3.1 Appraisal in this school will be a supportive and developmental process designed to ensure that all teachers/headteachers have the skills and support they need to carry out their role effectively. It will help to ensure that teachers/headteachers are able to continue to improve their professional practice and to develop as teachers/headteachers.

4. CONFIDENTIALITY STATEMENT

- 4.1 All parties involved in this policy will be expected to observe the principle of confidentiality in relation to the contents of appraisals and any documentation that arises thereof.

4.2 Any documentation arising from, or the content of any discussions during appraisal meetings may be shared by the Headteacher/Appraiser with individuals involved in monitoring performance, or those involved in any capability proceedings that may follow and for quality assurance/moderation purposes. The Appraisee should be informed if documentation relating to their appraisal is shared.

4.3 Documentation arising from, or the content of any discussions during appraisal meetings should be stored securely and not stored, either electronically or manually, in any public areas in school/on the school's computer network.

5. HEALTH & DISABILITY

5.1 The Appraiser should consider any ongoing health or disability affecting the Teacher/Headteacher during the appraisal cycle, including the possibility of considering whether any reasonable adjustments should be made. The Occupational Health Unit can provide advice in this respect if required.

6. GLOSSARY OF TERMS

Appraisee/
Teacher Any reference to appraisee/teacher within this policy refers to the person being appraised, which may also include the Headteacher

Appraiser/
Reviewer The person conducting the appraisal with the Teacher, which may also include the relevant committee of the Governing Board (in cases of Headteacher appraisal)

School
day One of the 195 days of the published school year when a teacher is required to be available for work under the School Teachers' Pay and Conditions Document.

7. THE APPRAISAL PERIOD

7.1 The appraisal period will run for 12 months, normally from 1 September to 31 August each year.

7.2 Teachers/Headteachers who are employed on a fixed term contract of less than one year should 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.

7.3 Where a Teacher/Headteacher starts their employment at the school part-way through a cycle, the Headteacher or, in the case where the employee is the Headteacher, the Governing Board shall determine the length of the first cycle for that Teacher/Headteacher, with a view to bringing his/her cycle into line with the cycle for other teachers as soon as possible.

7.4 Where a teacher/headteacher transfers to a new post within the school part-way through a cycle, the Headteacher or, in the case where the employee is the Headteacher, the Governing Board shall determine whether the cycle shall begin again and whether to change the Appraiser.

8. APPOINTING APPRAISERS

Headteachers

- 8.1 The Headteacher will be appraised by a committee of the Governing Board, who have been delegated to perform that function, supported by a suitably skilled and experienced external adviser who has been appointed by the Governing Board for that purpose.
- 8.2 In this school, the task of appraising the Headteacher, including the setting of objectives, will be delegated to a committee consisting of three members of the Governing Board. Schools of religious character or foundation schools should ensure that foundation governors are appropriately represented on the committee.
- 8.3 Where a headteacher is of the opinion that any of the governors appointed by the Governing Board 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.

Other teachers

- 8.4 The Headteacher will decide who will appraise other teachers. However, the Headteacher will carefully consider any representations from a teacher or appraiser in cases where they do not believe that the Appraiser/Teacher relationship is appropriate.
- 8.5 If it becomes apparent that the Appraiser appointed by the Headteacher will be absent for the majority of the appraisal cycle, the Headteacher may perform those duties her/himself or delegate those duties to another teacher for the duration of that absence.
- 8.6 If the Headteacher appoints an appraiser who is not the Teacher's line manager, the Appraiser to whom s/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.
- 8.7 Where a teacher is experiencing difficulties and the Headteacher is not the Appraiser, the Headteacher may undertake the role of appraiser.

9. SETTING OBJECTIVES

- 9.1 In schools, the Headteacher's objectives will be set by a committee of the Governing Board in consultation with the external adviser. Objectives will be set before, or as soon as practicable after, the start of each appraisal period. The objectives set will be Specific, Measurable, Achievable, Realistic and Time-bound (SMART) and will be appropriate to the Teacher/Headteacher's role and level of experience.
- 9.2 The Appraiser and Teacher/Headteacher 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. Objectives will be quality assured/moderated across the School to ensure that objectives set are consistent across teachers with similar experience and levels of responsibility.
- 9.3 The objectives set for each teacher/headteacher will, if achieved, contribute to the school's plans for improving the school's educational provision and performance and improving the education of pupils at that school, and will include a description of what success may look like, where this is not obvious.

The objectives may also take into account the professional aspirations of the Teacher.

- 9.4 The number and depth of objectives should be appropriate to the Teacher/Headteacher, their individual circumstances and role in school.
- 9.5 The process for monitoring progress against the objectives will be specific to each school. The monitoring that occurs may vary from school to school and will be dependent upon the role the Teacher has in school.
- 9.6 The appraisal process should include an assessment against the appropriate standards. Before, or as soon as practicable after, the start of each appraisal period, each teacher will be made aware of the standards against which their performance in that appraisal period will be assessed, in order that the Teacher can prepare for the appraisal meeting.
- 9.7 All teachers/headteachers should be assessed against relevant standards contained in the DfE's "Teachers' Standards" (from September 2012), which the Teacher should be directed to. The Headteacher or Governing Board (as appropriate) will need to consider whether certain teachers should also be assessed against other sets of standards that are relevant to them e.g. LCC Post Threshold standards. Those paid on the Leadership Group Pay Range should also be assessed against the National Standards of Excellence for Headteachers 2015. Qualified Teacher Learning and Skills (QTLS) holders may be assessed against the overarching professional standards for teachers in the lifelong learning sector, held by the Learning and Skills Improvement Service.

10. PAY PROGRESSION

- 10.1 Where teachers are eligible for pay progression, the recommendation made by the Appraiser will be based on the assessment of their performance against the appraisal objectives. The decision made by the relevant decision-making body will be based on the criteria outlined within the School's Pay Policy (see Document Location link), the statutory criteria and guidance set out in the *School Teachers' Pay and Conditions Document (STPCD)* and the relevant teacher standards.
- 10.2 The Governing Board has agreed the pay policy of the school and has considered the implications of the Appraisal Policy with respect to the arrangements relating to teachers' pay in accordance with the STPCD. The Governing Board will ensure that decisions on pay progression are made by 31 December for Headteachers and by 31 October for other teachers.

11. REVIEWING PERFORMANCE

- 11.1 There are a variety of ways to assess/gather evidence of the Teacher/Headteacher's performance against the objectives set during the appraisal process. Classroom observation is also likely to form part of the review of performance for teachers with a classroom teaching role, as this can be an effective way of assessing teachers' performance to identify any particular strengths and areas for development they may have. It is also a method of obtaining information which can inform school improvement more generally.
- 11.2 All observations under this policy will be carried out in a supportive fashion, with professionalism, integrity and courtesy, and should result in a professional dialogue and constructive feedback. Verbal feedback should be provided as

soon as is reasonably practicable after the observation, normally within 3 school days and written feedback within 5 school days, unless circumstances make this impossible.

- 11.3 For the purposes of appraisal, teachers' performance will be observed on an appropriate and reasonable number of occasions and will, as far as possible, be agreed by the Appraiser with the Appraisee based on the individual circumstances of the Teacher and the overall needs of the school.
- 11.4 For the purpose of professional development, feedback on lesson observations should be developmental, and not only a judgement using Ofsted grades.
- 11.5 In this school teachers' performance will be regularly observed but the amount and type of classroom/other observation will depend on the individual circumstances of the Teacher and the overall needs of the school.
- 11.6 Classroom observation will only be carried out by those with Qualified Teacher Status.
- 11.7 The school may use the findings of each observation, including appraisal observations, for other management requirements (for example subject area reviews), thereby seeking to minimise the total number of occasions when teachers are observed.
- 11.8 In addition to formal observation, Headteachers or other leaders with responsibility for teaching and learning standards may "drop in" in order to evaluate the standards of teaching and to check that high standards of professional performance are established and maintained. The length and frequency of "drop ins" and the notice to be given will vary depending on specific circumstances.
- 11.9 Schools should consider developing a classroom observation protocol, which provides details on the conduct of "drop in" and classroom observations. If such a protocol is developed, Headteachers should consult staff and school trade union/professional association representatives.
- 11.10 Teachers (including the Headteacher) who have responsibilities outside the classroom should also expect to have their performance of those responsibilities observed and assessed.
- 11.11 In situations where the Teacher/Headteacher's performance becomes a cause for concern, additional review meetings may take place and additional support discussed, to assist the Teacher/Headteacher in achieving their objectives. During any additional meetings, the Appraiser will clearly outline the nature of the concerns, so that the Teacher/Headteacher is fully aware of what is required to achieve their objectives.

12. DEVELOPMENT AND SUPPORT

- 12.1 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.

- 12.2 As part of the appraisal process, the impact of any continuing professional development on the Teacher's performance will be assessed (See Document Location Link).
- 12.3 The School CPD programme will be informed by the training and development needs identified as part of the appraisal process. In this regard, the Governing Board will ensure that in budget planning, as far as possible, resources are made available in the school budget for appropriate development opportunities.
- 12.4 In the case of competing demands on the school budget in relation to CPD opportunities, a decision on relative priority will be taken by the Headteacher with regard to the extent to which:
- (a) the training and support will help the school achieve its priorities; and
 - (b) the CPD identified is essential for an appraisee to meet their objectives.
- 12.5 During the annual assessment/review meetings, account will be taken of circumstances where it has not been possible for the Teacher/Headteacher to fully meet their objectives because any support recorded in the planning statement has not been provided, taking into account the reason why the support has not been provided.

13. FEEDBACK

- 13.1 Teachers/headteachers will receive constructive feedback on their performance throughout the year and soon after any observation has taken place or other evidence becomes available. Feedback will highlight particular areas of strength as well as any areas for further development.
- 13.2 The objectives set for each teacher/headteacher will, if achieved, contribute to the School's plans for improving the School's educational provision and performance and improving the education of pupils at that School. The monitoring of this will be specific to each School. The monitoring that occurs may vary from School to School and will be dependent upon the role the Teacher has in School.

14. TRANSITION TO CAPABILITY

- 14.1 If the Appraiser is not satisfied with progress made under the Appraisal Policy, the Teacher/Headteacher will be notified in writing by the Headteacher/Chair of Governors that:
- i). the appraisal procedures will no longer apply
 - ii). their performance will be managed under the Capability Policy – See Section 8 of the Model Capability Policy for Teachers in Delegated Schools
 - iii). they will be invited to an informal capability meeting, with at least 5 school days' notice (A model letter to be used for this purpose is included within the Capability Policy)

- iv). the matter will then be referred to a member of the School Senior Leadership Team (if the Appraiser is not a member of the School SLT).

14.2 The informal and formal capability procedures are contained within a separate Capability Policy.

15. ANNUAL ASSESSMENT

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

15.2 This assessment is the end point of 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 will take place once a term, or more frequently where there are concerns about the Teacher/Headteacher's performance. Some performance objectives could be carried forward into the subsequent appraisal cycle.

15.3 The Teacher/Headteacher will receive a written Appraisal Report (see document location link) as soon as practicable following the end of each appraisal period and have the opportunity to add comments. In this school, the Headteacher will receive their written appraisal report by 31 December each year and all other teachers will receive their written appraisal reports by 31 October, unless exceptional circumstances apply. The appraisal report will include:

- details and evaluation of the Teacher/Headteacher's objectives for the appraisal period in question.
- an assessment of the Teacher/Headteacher's performance of their role and responsibilities against their objectives and the relevant standards.
- an assessment of the Teacher/Headteacher's future training and development needs and identification of any action that should be taken to address them.
- a recommendation on pay where that is relevant (**NB** pay recommendations need to be made by 31 December for Headteachers and by 31 October for all other teachers).
- performance objectives with success criteria for the next appraisal cycle
- space for the Teacher/Headteacher to add their comments (if they wish).

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

16. TEACHERS ON MATERNITY LEAVE DURING ALL/PART OF THE APPRAISAL CYCLE

16.1 Where a teacher is absent from school due to maternity leave, it is unlawful to deny her an appraisal and subsequent pay progression decision on the grounds of her maternity. When a teacher returns to work from maternity leave, the school must give her any pay increase that she would have received, following appraisal, had she not been on maternity leave.

16.2 Schools need to take a practical and flexible approach to conducting appraisals and making pay decisions for those absent on maternity leave, where a teacher has been absent for some or all of an appraisal cycle.

- 16.3 Schools should consider conducting an Appraisal Review prior to a teacher commencing a period of maternity leave, even if this is early in the appraisal cycle. This could assist the Reviewer in making an appraisal and pay determination at the end of the Appraisal cycle, based on the evidence of performance to date in that appraisal year. The Reviewer could also take account of the Teacher's performance during previous appraisal periods if there is very little to go on in the current year. However, schools should not require teachers to use Keeping in Touch (KIT) days for the purposes of appraisal.
- 16.4 Schools may also consider conducting an Appraisal Review prior to a teacher commencing any other pre-planned long-term absence e.g. a period of extended unpaid leave, Adoption Leave, a planned long-term sickness absence.

Appraisal Documents Location

[All Staff SharePoint / Documents / General / Staff / Staff Appraisal](#)

