



Performance Management Policy (Teachers)

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Statement of Intent

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.

The appraisal policy will be used to address any initial concerns that are raised about a teacher/headteacher's performance. Where additional support has been provided within the appraisal process and this does not lead to the required improvement, then consideration of whether to commence the capability procedure will be made.

Application

This policy applies to the headteacher and all teachers employed by the school, except those on contracts of less than one term, those undergoing induction (i.e. Early Career Teachers) and those who are subject to the Capability Policy.

Separate arrangements exist for the appraisal of school support staff

This policy has due regard to all relevant legislation and statutory guidance including, but not limited to, the following:

- Equality Act 2010
- The School Staffing (England) Regulations 2009 (as amended)
- The Education (School Teachers' Appraisal) (England) Regulations 2012
- DfE (2020) 'Governance handbook'
- DfE (2019) 'Teacher appraisal and capability: A model policy for schools'
- DfE (2011) 'Teachers' Standards'
- DfE (2021) 'Staffing and employment advice for schools'
- DfE (2019) 'Implementing your school's approach to pay'
- DfE (2018) 'The Equality Act 2010 and schools'

This policy operates in conjunction with the following school policies:

- Teacher Capability Policy
- Confidentiality Policy
- Disciplinary Policy and Procedure
- Records Management Policy
- Whistleblowing Policy
- Teachers' Pay Policy
- School Development Plan

Statement of Intent

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.

The School Teachers Pay and Conditions Document states that *"Governing bodies and headteachers, in carrying out their duties, must have regard to the need for the headteacher and teachers at the school to be able to achieve a satisfactory balance between the time required to discharge their professional duties...and the time required to pursue their personal interests outside work"*.

Confidentiality Statement

The School processes personal data collected under this policy in accordance with its data protection policy. 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.

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.

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.

Inappropriate access or disclosure of employee data constitutes a data breach and should be reported in accordance with the school's data protection policy. It may also constitute a disciplinary offence, which will be dealt with under the disciplinary procedure.

Health & Disability

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.

Roles and Responsibilities

The governing board is responsible for:

- Ensuring the effectiveness of this policy by monitoring and reviewing it [annually](#).

- Ensuring that the appraisal process is managed in a way that avoids increased workload for all parties concerned.
- Ensuring that all members of staff have read and understood the provisions in this policy.
- Appraising the headteacher and setting their objectives, with advice from an appropriate external adviser.
- Ensuring all objectives contribute towards the School Development Plan and improve the education of pupils at the school.
- Taking advice from an external adviser on the assessment of the headteacher's performance.
- Providing the headteacher with their agreed appraisal report.
- Ensuring all members of the board are informed that the appraisal process has taken place.
- Ensuring all members of the board are informed that that the review process has taken place.
- Making a recommendation on headteacher's pay, where relevant.
- Ensuring consistency of treatment and fairness, and abiding by all relevant equality legislation.
- Ensuring all delegated responsibilities are carried out.
- Determining the appraisal period that applies to teachers (including the headteacher).
- Ensuring that appraisal evidence informs other decisions, including decisions related to professional development and pay.

The headteacher is responsible for:

- The day-to-day implementation of this policy.
- Ensuring that the appraisal process is managed in a way that avoids increased workload for all parties concerned.
- Deciding who will appraise teachers.
- Informing teachers of the standards against which their performance in the set appraisal period will be assessed.
- Conducting drop-in observations, where necessary, to evaluate standards of teaching and ensure high standards of professional performance are maintained.
- Providing teachers with their appraisal reports or delegating this task, as appropriate.

Teaching staff are responsible for:

- Improving their teaching through proactive engagement in appropriate CPD opportunities.
- Voicing concerns where they believe the appraisal process is causing unnecessary challenges, e.g. in terms of wellbeing or workload.

General Principles underlying this Policy

Confidentiality

The appraisal process will be treated with confidentiality; however, the desire for confidentiality does not override the need for the headteacher and the governing board to quality-assure the operation and effectiveness of the appraisal system.

This will be achieved by the headteacher and governing board:

- Personally reviewing a sample of teachers' appraisal records for consistency.
- Being informed of any pay recommendations that have been made and the rationale behind these.

Consistency of treatment and fairness

The governing body is committed to ensuring consistency of treatment and fairness throughout the appraisal process.

It is also committed to ensuring that all teachers, regardless of their protected characteristics, are treated fairly, and recognises that identical treatment and evaluation processes may not be fair for all teachers. The governing body will ensure that reasonable adjustments are made to the appraisal process where appropriate and necessary e.g. for teachers with disabilities.

Definitions

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

Delegation

Normal rules (as set out in The School Staffing (England) Regulations 2009) will apply in respect of the delegation of functions by the governing board and headteacher.

This section of the 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 and those who are subject to capability procedures.

Appraisal at this school will be supportive, and the developmental process is designed to ensure that all teachers have, or fully develop, the skills and access to support they need to carry out their role effectively – it will help to ensure that teachers are able to continue to improve their professional practice and to develop as teachers. Appraisal outcomes will be used to inform pay progression decisions.

The appraisal period

The appraisal period will run for 12 months from 1st September to 31st August.

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 this period will be determined by the duration of their contract.

The school will amend the appraisal period's length in certain circumstances. Where a teacher starts their employment at the school during the course of an appraisal period, the headteacher, or governing board in the case of a new headteacher, will determine how long their appraisal process will be. The aim will be to ensure that all teachers are brought onto the same appraisal cycle as soon as is practicable.

Appointing appraisers

The headteacher will be appraised by a panel of the governing body, ideally an odd number but a minimum of three, supported by a suitably skilled and/or experienced external adviser who has been appointed by the governing board for that purpose.

The headteacher will decide who will appraise other teachers on a case by case basis; however, all appraisers of teachers will be suitably trained and have QTS.

Setting objectives

The headteacher's objectives will be set by the governing body after consultation with the external adviser, taking into account the headteacher's work-life balance. These objectives will be agreed by the headteacher.

Teachers' work-life balance will be taken into consideration when objectives are set. Teachers' objectives will take into account the length of their contract to ensure objectives are realistic and fair.

Teachers will be informed by the headteacher or their line manager of the standards against which their performance in the set appraisal period will be assessed. The standards used in relation to appraisal are the '[Teachers' Standards](#)'.

Objectives for each teacher will be set before, or as soon as practicable after, the start of each appraisal period. The objectives set for each teacher will be SMART (specific, measurable, achievable, realistic and time-bound), and will be appropriate to the teacher's role and level of experience. Objectives will take note of a teacher's individual needs in relation to their professional development.

Objectives and performance management discussions will not be based on teacher-generated data and predictions, or entirely on assessment data for a single group of pupils. Objectives may be set in relation to robust assessment data, but these will not be used in isolation and additional factors will always be considered when making pay progression decisions.

The appraiser and teacher will seek to agree on the objectives. Objectives may be revised if circumstances change.

The school will take a considered approach to circumstances where a teacher's objectives are challenging, measuring progress towards objectives as well as completion.

The school will generally set no more than three appraisal targets, and will not set sub-targets, save for in exceptional circumstances.

Observation

The school believes that observation of classroom practice and other responsibilities is important, both in assessing teachers' performance to identify any particular strengths and areas for development they may have, and for gaining useful information which could inform improvement. Observation can also enable teachers to learn from each other and collaborate.

The following guidelines will be adhered to:

- The number of official observations will not exceed three sessions per year
- Observations will not exceed one hour per session
- The focus and timing of annual observation sessions will be agreed in consultation with the teacher

- Observations will be conducted with professionalism, integrity, courtesy and objectivity
- Observation reports will be accurate and fair
- The confidentiality of the information in the report will be respected
- Observations will not add to teachers' overall workload
- At least **five working days'** notice will be given of the date and time of the observation
- Verbal feedback will be provided by the **end of the next school day**
- Written feedback will be provided within **five working days**.

The governing board will determine whether teaching staff can refuse to share their lesson plans during observations – this decision will be communicated to all teaching staff and their appraisers. Classroom observation will be carried out by those with QTS.

Evidence

The range and level of evidence collected for the purposes of appraisal and pay determination will always be proportionate and the impact on workload will be minimal.

Evidence used will relate directly to the pre-agreed objectives. The form of the evidence will be agreed with the teacher in advance, and will be material, or contain material, which is readily available from day-to-day practice.

Development and support

Appraisal is a supportive process which will be used to inform CPD. The school encourages a culture in which all teachers take responsibility for improving their teaching through appropriate professional development.

Professional development will be linked to improvement priorities in the School Development Plan where possible, and to the ongoing professional development needs and priorities of individual teachers.

As part of the appraisal process, the impact of any continuing professional development on the Teacher's performance will be assessed.

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.

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.

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.

Feedback

Teachers will receive constructive, supportive feedback on their performance throughout the year and as soon as practicable after observation has taken place, or when other evidence has come to light. Feedback will highlight particular areas of strength as well as any areas that require attention. Teachers will also receive an assessment of their professional development requirements and any action that should be taken to address them.

Where there are concerns about any aspects of the teacher's performance, the appraiser will meet the teacher formally to:

- Give clear feedback to the teacher about the nature and seriousness of the concerns.
- Give the teacher an opportunity to comment and discuss the concerns.
- Agree any support that will be provided to help address those specific concerns.
- Make clear how, and by when, the appraiser will review progress.
- Explain the implications and process if no or insufficient improvement is made, for example, the impact on pay progression and the potential for movement into formal capability proceedings.
- Set clear objectives to be met to achieve the required improvement.

When progress is reviewed, 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.

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.

Transition to capability

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).

The informal and formal capability procedures are contained within a separate [Capability Policy](#).

Annual assessment

Each teacher's performance will be formally assessed in respect of each appraisal period. In assessing the performance of the headteacher, the governing board will consult the external adviser. This assessment is the final stage 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 and a mid-term review.

The Teacher/Headteacher will receive a written Appraisal Report 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 of the teacher's objectives for the appraisal period in question.
- An assessment of the teacher's performance of their role and their 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 progression 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)

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

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

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

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.

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.

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.

Pay Progression

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, the statutory criteria and guidance set out in the *School Teachers' Pay and Conditions Document (STPCD)* and the appropriate standards.

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.

Continued good performance as defined by the School Pay Policy should give a classroom or unqualified teacher an expectation of progression to the top of their respective pay range;

Reviewing Performance

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.

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. Classroom observation will be only be carried out by those with Qualified Teacher Status.

For the purposes of appraisal, teachers' performance will be monitored 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.

In this school, teachers' performance will be regularly monitored by, for example:

- Formal classroom observations
- Headteacher "drop ins"
- Book scrutiny
- Pupil Progress meetings
- Subject leader meetings
- Pupil interviews

For the purpose of professional development, feedback on lesson observations should be developmental, and not only a judgement using Ofsted grades.

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.

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.

Schools should consider developing a classroom observation protocol/monitoring and evaluation schedule, which should provide 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.

Teachers (including the Headteacher) who have responsibilities outside the classroom should also expect to have their performance of those responsibilities observed and assessed in an appropriate and relevant manner as part of the Appraisal Policy.

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.

Pay Progression

Where teachers