

Teacher Appraisal Procedure

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Document information

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Purpose	This policy is part of a suite of documents which have been developed to meet the requirements of the Teacher Appraisal Regulations 2012		

Document accessibility

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The Governing Body of _____ School/Academy/Federation adopted this Teacher Appraisal policy on _____.

1. Introduction

- 1.1. Appraisal arrangements are set out in Education (School Teachers' Appraisal) (England) Regulations 2012 (The Appraisal Regulations).
- 1.2. The Appraisal Regulations set out the principles that apply to teachers, including Headteachers, in all maintained schools where they are employed for one term or more. It is also good practice for academies to follow the regulations. The arrangements within this policy have been consulted upon with local trade union/professional association representatives.
- 1.3. The Appraisal Regulations require all qualified teachers, including the Headteacher, to be assessed annually against the Teachers' Standards and any other relevant standards which the governing body determines to be relevant to the performance of an individual's role.

2. Application of the Policy

- 2.1 **The appraisal period will run for twelve months from _____ to _____.**
- 2.2 The policy applies to the Headteacher/Principal and all teachers employed by the school except those teachers on contracts of less than one term, those undergoing induction (i.e. ECT's) or teachers on capability procedures.
- 2.3 Teachers who are employed on a fixed term contract of less than one year will have their performance managed in accordance with the principles of this policy. **The length of their appraisal period will be determined by the duration of their contract.**
- 2.4 Where a teacher transfers to a new post within the school part-way through a cycle, the Headteacher/Principal or, in the case where the teacher is the Headteacher/Principal, the governing body shall determine whether the cycle shall begin again and whether to change the appraiser.
- 2.5 Where a teacher starts their employment at the school/academy part way through a cycle, the Headteacher/Principal or, in the case where the employee is the teacher, the governing body shall determine the length of the first cycle for that teacher, with a view to bringing his/her cycle into line with the cycle for other teachers as soon as possible.

3. Purpose

- 3.1 This policy sets out the framework for a clear and consistent assessment of the overall performance of teachers and the Headteacher/Principal against the Teachers' Standards and other role related standards, as appropriate. It also supports their development needs within the context of the pupils' education outcomes, the school's improvement plan and their own professional needs.

- 3.2 **Before, or as soon as practicable, after the start of each appraisal period, each teacher will be informed of the standards against which the teacher’s performance in that appraisal period will be assessed.**
- 3.3 For teachers who request assessment against the post-threshold standards, Headteachers/Principals in England will normally only use the evidence recorded in their appraisal records covering the two year period prior to the receipt of the request for assessment.
- 3.4 This policy should be read in conjunction with the school’s pay policy which provides details of the arrangements relating to teacher’s pay in accordance with the School Teachers’ Pay and Conditions document.

4. Links to school improvement, school self evaluation and school development planning

- 4.1 The appraisal process will be a key source of information relevant for school self-evaluation and the wider school improvement process. The link to school improvement, school self-evaluation and school development planning will minimise workload and bureaucracy.
- 4.2 Similarly, the school improvement and development plan and the school’s self evaluation information are key documents to be used to support the appraisal process.
- 4.3 All appraisers are expected to explore the alignment of appraisees’ objectives with the school’s priorities and plans and the outcomes of pupils, in particular those individuals and groups vulnerable to underachievement. The objectives should also reflect appraisees’ role, experience, professional aspirations and personal development.
- 4.4 Copies of the school improvement and development plan and other relevant documents are published on the school’s intranet and/or can be obtained from the school office.

5. Consistency of treatment and fairness

- 5.1 The governing body is committed to ensuring consistency of treatment and fairness of the appraisal process and will abide by all relevant equality legislation.
- 5.2 To ensure this, the following provisions are made in relation to moderation, quality assurance and objective setting.
- 5.3 Quality assurance

The Headteacher/Principal has determined that s/he will:

Option 1

Be the moderator for all teachers.

or

Option 2

Delegate the moderator role for some or all teachers for whom s/he is not the line manager. In these circumstances the Headteacher/Principal will:

Either

- (a) Moderate all the Teachers' Standards Self Assessment Pro Forma to check that the plans recorded in the statements of teachers at the school:
- are consistent between those who have similar experience and similar levels of responsibility; and
 - comply with the school's Teacher Appraisal Policy, the regulations and the requirements of equality legislation.
- or
- (b) Moderate a sample of Teachers' Standards Self Assessment Pro Forma to check that the plans recorded in the statements of teachers at the school:
- are consistent between those who have similar experience and similar levels of responsibility; and
 - comply with the school's Teacher Appraisal Policy, the regulations and the requirements of equality legislation
- or
- (c) Delegate the moderation process on the basis of either model (a) or (b) above to a member of the Leadership Team.

- 5.4 The Appraisal Regulations 2012 require **the governing body to appoint an External Adviser for the purposes of providing it with advice and support in relation to the appraisal of the Headteacher/Principal.**

Option 1

Nominate the chair of the governing body, who will not be involved in the Headteacher/Principal's appraisal or any appeal regarding the Headteacher/Principal's appraisal to ensure that the Headteacher/Principal's Teachers' Standards Self Assessment Pro Forma and planning statement is consistent with the school's improvement priorities and complies with the school's Teacher Appraisal Policy and the regulations

Or

Option 2

Nominate (up to three governors - state the number) who will not be involved in the Headteacher/Principal's annual appraisal process or any appeal regarding the Headteacher/Principal's annual appraisal process to ensure that the Headteacher/Principal's Teachers' Standards Self Assessment Pro Forma and planning statement is consistent with the school's improvement priorities and complies with the school's Teacher Appraisal Policy and the regulations.

5.5 Appointment of appraisers for the Headteacher/Principal

It is the statutory responsibility of the governing body, when appraising the Headteacher/Principal, to be advised by a suitably qualified and experienced external advisor who has been appointed by the governing body for that purpose. The process must be conducted annually and be completed by 31st December. This applies to all schools/academies including federations.

In this school:

Option 1

The governing body is the appraiser for the Headteacher/Principal and to discharge this responsibility on its behalf may appoint 3 or exceptionally 2 governors.

or

Option 2 (for schools with a religious character)

The governing body is the appraiser for the Headteacher and to discharge this responsibility on its behalf appoints 3 or exceptionally 2 governors of which _____ (at least one) will be a foundation governor.

or

Option 3 (for voluntary aided schools)

The governing body is the appraiser for the Headteacher and to discharge this responsibility appoints: either

Three governors of which _____ (not less than two) will be foundation governors

or exceptionally

Two governors of which _____ (at least one) will be a foundation governor.

5.6 Where a Headteacher/Principal is of the opinion that any of the governors appointed by the governing body is unsuitable for professional reasons, he/she may submit a written request to the governing body for that governor to be replaced, stating those reasons.

5.7 **Appointment of reviewers for teachers**

In the case where the Headteacher/Principal is not the teacher's line manager, the Headteacher/Principal may delegate appraisal responsibilities, in their entirety, to the teacher's line manager. In this school the Headteacher/Principal has decided that:

Option 1

The Headteacher/Principal will be the appraiser for all teachers in this school.

or

Option 2

The Headteacher will be the appraiser for those teachers s/he directly line manages and will delegate the role of appraiser, in its entirety, to the relevant line managers for some or all other teachers. All appraisers will be qualified teachers and have the relevant experience.

5.8 Where a teacher has more than one line manager the Headteacher/Principal will determine which line manager will be best placed to manage and review the teacher's performance.

5.9 Where a teacher is of the opinion that the person to whom the Headteacher/Principal has delegated the appraiser's duties is unsuitable for professional reasons, s/he may submit a written request to the Headteacher/Principal for that appraiser to be replaced, stating those reasons. These concerns will be carefully considered and, where possible, an alternative appraiser will be offered.

5.10 Where it becomes apparent that the appraiser will be absent for the majority of the cycle or is unsuitable for professional reasons the Headteacher/Principal may perform the duties himself/herself or delegate them in their entirety to another teacher. Where this teacher is not the appraisee's line manager the teacher will have an equivalent or higher status in the staffing structure as the teacher's line manager.

5.11 Where a teacher is experiencing difficulties and the Headteacher/Principal is not the appraiser, the Headteacher/Principal may undertake the role of appraiser.

5.12 An appraisal will not begin again in the event of the reviewer being changed.

5.13 All line managers to whom the Headteacher/Principal has delegated the role of appraiser will receive appropriate preparation for that role.

6. Objective setting

- 6.1 The **objectives for each teacher will be set before, or as soon practicable after, the start of each appraisal period.** The objectives set will be rigorous, challenging, achievable, time-bound, fair and equitable., The objectives will have regard to what can reasonably be expected of any teacher in that position given the desirability of the appraisee being 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 of work. They shall also take account of the teacher's professional aspirations and any relevant pay progression criteria. **They should be such that, if they are achieved, they will contribute to improving the school's educational provision and performance and improving the progress of pupils at the school,** especially individuals and groups vulnerable to underachievement. Appraisees may make written comments regarding their objectives.
- 6.2 **The Headteacher/Principal's objectives will be set by the governing body after consultation with the external adviser.**
- 6.3 The appraiser and appraisee will seek to agree the objectives but where a joint determination cannot be made the appraiser will make the determination.
- 6.4 In this school/academy choose either, both or neither as applicable.
- All teachers, including the Headteacher/Principal, will have no more than three objectives.
 - Teachers, including the Headteacher/Principal, will not necessarily all have the same number of objectives.
- 6.5 The agreed objectives will be SMART (Specific, Measurable, Achievable, Realistic and Time bound) and be related to individual performance, school improvement needs and personal development, for example:
- 6.6 Though the appraisal process is an assessment of overall performance of teachers and the Headteacher/Principal, objectives cannot cover the full range of a teacher's roles/responsibilities. Objectives will, therefore, focus on the priorities for an individual for the cycle.
- 6.7 Objectives may be reviewed during the appraisal cycle to reflect a change in circumstances.

7. Reviewing Performance

- 7.1 At the end of the cycle, the assessment of performance against an objective will be on the basis of the performance criteria set at the beginning of the cycle. Good progress towards the achievement of a challenging objective, even if the performance criteria have not been met in full, will be assessed favourably, as long as the required Teachers' Standards is adequately met.
- 7.2 The appraisal cycle is annual, but on occasions it may be appropriate to set objectives that will cover a period over more than one cycle. In such cases, the basis on which the progress being made towards meeting the performance criteria for the objective will be

assessed at the end of the first cycle and will be recorded in the appraisal report at the beginning of the cycle.

- 7.3 The school/academy believes that observation of classroom practice and other responsibilities is important both as a way of assessing teachers' performance in order to identify any particular strengths and areas for development they may have and of gaining useful information which can inform school improvement more generally.
- 7.4 All observation will be carried out in a supportive manner as detailed within the Classroom observation protocol (see Appendix 1).

8. Development and Support

- 8.1 Appraisal is a supportive process which will be used to inform continuing professional development (CPD). The school/academy encourages a culture whereby 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.

9. Feedback

- 9.1 Teachers will receive constructive feedback on their performance throughout the year and as soon as practicable after observation has taken place or other evidence has come to light. Feedback will highlight particular areas of strength as well as any areas that need attention.
- 9.2 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.

10. Teachers experiencing difficulties

- 10.1 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 the opportunity to comment and discuss the concerns;
 - require the teacher to provide further supporting evidence to address the issues;
 - agree any support (e.g. coaching, mentoring, structured observations), that will be provided to help address those specific concerns via an action plan;
 - make clear how, and by when, the appraiser will review progress;
 - explain that if no, or insufficient, improvement is made the teacher will progress on to the school/academy capability procedures.
- 10.2 Where insufficient progress is made about the concerning aspects of the teacher's performance, supportive measures will be agreed to assist the teacher to meet the

expected level of performance within an agreed timescale, see flowchart at Appendix 1 for further details.

- If required, a period of five days will be allowed for further supporting evidence to be provided to illustrate compliance with the Teachers' Standards.
- If required, a supportive action plan will be agreed to address the performance issues of the teacher. The Headteacher/Principal or a senior leader must be made aware and agree progression to this stage. Progress against the action plan will normally be concluded within 6 weeks (30 days).

During this period the teacher will be given regular feedback on progress. The support programme may be modified if appropriate.

- 10.3 If the appraiser remains unsatisfied with a teacher's progress after the agreed support has been provided within the agreed timescale, then the Headteacher/Principal will be informed. The Headteacher/Principal must confirm the decision to end the appraisal process, and to manage the teacher's performance under the Capability Policy.
- 10.4 The teacher will be given five working days written notice of a capability meeting. At this meeting the teacher may be accompanied by a work colleague or a trade union/professional association representative.

11. Annual assessment

- 11.1 **Each teacher's performance will be formally assessed in respect of each appraisal period. In assessing the performance of the Headteacher/Principal, the Governing Body must consult the external adviser.**
- 11.2 This assessment is the end point to the annual appraisal process, but performance and development priorities will be reviewed and addressed on a regular basis throughout the year in interim meetings which will take place.
- 11.3 **The teacher will receive as soon as practicable following the end of each appraisal period – and have the opportunity to comment in writing on - a written appraisal report.** In this school, teachers will receive their written appraisal reports by 31 October (31 December for the Headteacher/Principal). **The appraisal report will include:**
- details of the teacher's objectives for the appraisal period in question;
 - **an assessment of the teacher's performance of their role and responsibilities against their objectives and the relevant standards;**
 - **an assessment of the teacher's professional development needs and identification of any action that should be taken to address them;**
 - a space for the teacher's own comments;
 - any other information (specify) to be included by the school/academy
 - **a recommendation on pay where that is relevant** (*NB – pay recommendations need to be made by 31 December for Headteachers/Principals and by 31 October for other teachers*);

(schools to say here what else, if anything, their appraisal reports will include).

- 11.4 The assessment of performance and of professional development needs will inform the planning process for the following appraisal period.
- 11.5 Performance management planning and review statements will be retained for a minimum period of 6 years.

12. Appeals

- 12.1 At specified points in the performance management process teachers and Headteachers/Principals have a right of appeal against any of the entries in their appraisal report and review statements. Where an appraisee wishes to appeal on the basis of more than one entry this would constitute one appeal hearing.
- 12.2 Details of the appeals process are covered in the school's pay policy.

13. Confidentiality

- 13.1 The whole appraisal process and the reports generated under it will be treated with strict confidentiality at all times. Only the appraisee's line manager or, where s/he has more than one, each of her/his line managers will be provided with access to the appraisee's report, upon request, where this is necessary to enable the line manager to discharge her/his line management responsibilities. Appraisees will be told who has requested and has been granted access to the information.
- 13.2 The Headteacher/Principal has the right to see all appraisee reports in order to moderate the process.

14. Training and support

- 14.1 The school/academy CPD programme will be informed by the training and development needs identified in the professional development section of the appraisees' reports and review statements.
- 14.2 The governing body will ensure through its budget planning that, as far as possible, appropriate resources are made available in the school/academy budget for any professional development and support recommended for appraisees. Access to learning and development will be made on an equitable basis. It is recognised that some training and development needs can, and will be, provided in the school/academy setting.
- 14.3 An account of the professional development needs of teachers in general, including the instances where it did not prove possible to provide any agreed CPD, will be included in the Headteacher/Principal's annual report to the governing body about the operation of the appraisal process in the school.
- 14.4 With regard to the provision of CPD in the case of competing demands on the school/academy budget, a decision on relative priority will be taken with regard to the extent to which:
 - (a) the CPD identified is essential for an appraisee to meet their objectives; and

(b) the extent to which the professional development and support will help the school to achieve its priorities.

The school/academy priorities will have precedence.

- 14.5 Other in-house supportive mechanisms should be considered where it is not possible to provide bought in support. Allowance must be made where good progress towards meeting performance objectives has not been made and where the support recorded in the appraisal report has not been provided.

15. Monitoring and evaluation

- 15.1 In order that the governing body can discharge its responsibility for ensuring that the appraisal process is in place, the Headteacher/Principal will provide the governing body with a written report on the operation of the school's appraisal policy annually. The report will not contain any information which would enable any individual to be identified. The report will include:

- the operation of the appraisal policy;
- the effectiveness of the school's appraisal procedures;
- teachers' training and development needs.

- 15.2 The governing body is committed to ensuring that the appraisal process is fair and non-discriminatory on any grounds including:

- Race
- Sex
- Sexual orientation
- Disability
- Religion and belief
- Age
- Part-time contracts
- Trade union membership

- 15.3 The Headteacher/Principal will, therefore, also report annually to the governing body, in a confidential section, appropriate details of:

- any appeals or representations on an individual or collective basis on the grounds of alleged discrimination in relation to appraisal;
- cases, including the circumstances, where teachers have not made satisfactory progress towards objectives; and
- any instances where the training and development set out in the training and development section of an appraisal report has not been provided

Where the relevant personal data is available the Headteacher/Principal will include an analysis of the cases specified above. However, the report will not enable any individual to be identified.

16. Review of the Appraisal Policy

- 16.1 The governing body will conduct an annual review of the appraisal policy.
- 16.2 The governing body will take account of the Headteacher/Principal's report in its review of the appraisal policy. The policy will be revised as required to introduce any changes in regulation and statutory guidance to ensure that it is always up to date.
- 16.3 The governing body will seek to agree any revisions to the policy with the recognised trade unions having regard to the results of the consultation with all teachers.
- 16.4 To ensure teachers are fully conversant with the appraisal process, all new teachers who join the school will be briefed on it as part of their induction.

APPENDIX 1**CLASSROOM OBSERVATION PROTOCOL**

1. The governing body is committed to ensuring that classroom 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.
 - take account of particular circumstances that may affect the performance of the teacher on the day
2. The total period for classroom observation arranged for the appraisal process will be appropriate based on the individual needs of the teacher and the overall needs of the school, and will take place over a reasonable number of occasions.
3. In this school/academy ‘proportionate to need’ will be determined by the nature of the objectives set at the planning meeting.
4. The arrangements for classroom observation will be included in the plan in the planning and review statement and will include the amount of observation, specify its primary purpose, any particular aspects of the teacher’s performance which will be assessed, the duration of the observation, when during the appraisal cycle the observation will take place and who will conduct the observation.
5. Where evidence emerges about the appraisee’s teaching performance which gives rise to concern during the cycle classroom observations may be arranged in addition to those recorded at the beginning of the cycle subject to a revision meeting being held.
6. Information gathered during the observation will be used, as appropriate, for a variety of purposes including to inform school self-evaluation and school improvement strategies in accordance with the school’s commitment to streamlining data collection and minimising bureaucracy and workload burdens on staff.
7. In keeping with the commitment to supportive and developmental classroom observation those being observed will be notified in advance.
8. Observations may include responsibilities beyond the classroom, where appropriate to the teacher concerned.
9. Classroom observations will only be undertaken by persons with QTS. In addition, in this school classroom observation will only be undertaken by those who have had adequate preparation and the appropriate professional skills to undertake observation and to provide constructive oral and written feedback and support, in the context of professional dialogue between colleagues.
10. Oral feedback will be given as soon as possible after the observation and no later than the end of the following working day. It will be given during directed time in a suitable, private environment.

11. Written feedback will be provided within five working days of the observation taking place. If issues emerged from an observation that were not part of the focus of the observation as recorded in the planning and review statement these should also be covered in the written feedback and the appropriate action taken.
12. The written record of feedback also includes the date on which the observation took place, the lesson observed and the length of the observation. The teacher has the right to append written comments on the feedback document. No written notes in addition to the written feedback will be kept.
13. A Headteacher/Principal has a duty to evaluate the standards of teaching and learning and to ensure that proper standards of professional performance are established and maintained. Headteachers/Principals and appropriately designated staff have a right to drop in to inform their monitoring of the quality of learning.
14. Drop-ins will only inform the appraisal process where evidence arises which merits the revision of the appraisal planning statement, in accordance with the provisions of the regulations.

Local trade Union Professional Associations Views

This policy has been fully consulted upon with all trade unions and professional associations. Feedback from the trade unions/professional associations has been positive in respect of the policy as a whole.

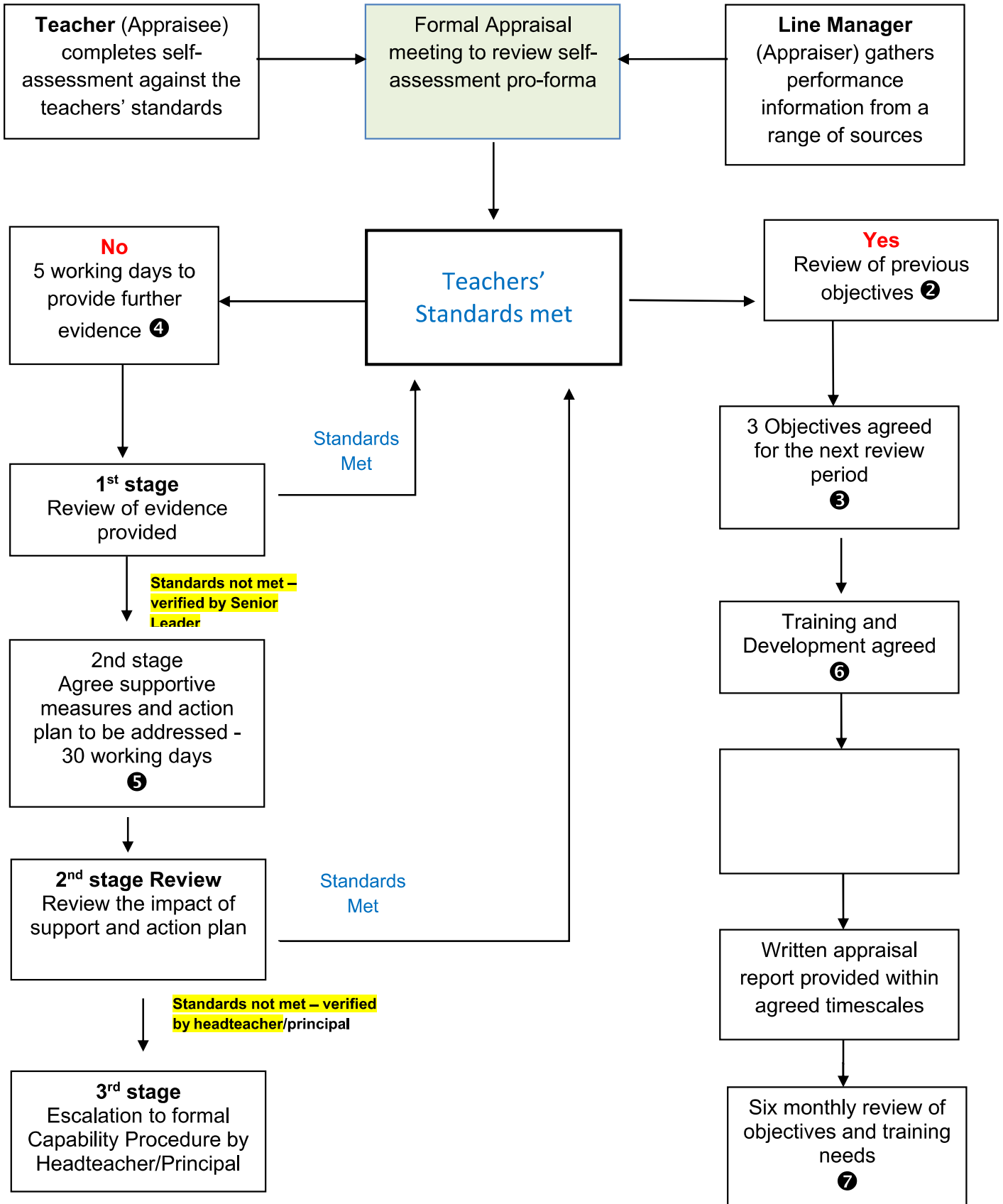
However, it has not been possible to reach an agreement on the Classroom Observation Protocol as the teacher unions insisted on the three hour limit where there is a recorded judgment that relates to appraisal.

Headteacher associations and Walsall Children's Services, on behalf of schools, were not able to agree to a three hour limit.

APPENDIX 2

Teacher Appraisal Process Flowchart

(● = section reference from Appraisal Record)



APPENDIX 3

Headteacher/Principal Appraisal Process Flowchart