London Borough of Hounslow

Model Policy for Appraising Teacher Performance in Schools 2024

Reviewed by the Schools Workforce HR & Development Team
Effective from September 2024

1.INTRODUCTION

1.1 Appraisal arrangements for schools are set out in the Education (School Teachers Appraisal) (England) Regulations 2012 (the Appraisal Regulations).

1.2 The Appraisal Regulations set out the principles that apply to teachers in all maintained schools and centrally employed (or unattached) teachers employed by local authority, where they are employed for one term or more.

1.3 It is also good practice for academies to follow the appraisal regulations, although they are not legally required to do so.

1.4 This procedure sets out how the School will improve outcomes for children/students, and raise the morale of teachers, by motivating teachers to update their skills and improve their performance.

1.5 Appraisal will have a supportive and developmental focus designed to ensure that all teachers have the skills and 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.

1.6 The appraisal procedure will be used also to address any concerns that are raised about a teacher's performance. If concerns are such that they cannot be resolved through the appraisal process, there will be consideration of whether to commence the capability procedure.

2. SCOPE

2.1 This policy applies to **all** teaching employees at the school, except

- Early Careers Teachers (formerly NQTs) who are subject to: https://www.gov.uk/government/publications/induction-for-early-career-teachers-england
- Staff members whose performance is being managed under Capability proceedings.

3. GENERAL PRINCIPLES UNDERLYING THIS POLICY

Consistency of Treatment and Fairness

3.1 The Governing Board is committed to ensuring consistency of treatment and fairness and will abide by all relevant equality legislation.

3.2 The appraisal process will be intrinsically supportive and developmental and conducted within school culture that values openness and fairness. Appraisal will be non-bureaucratic process that recognizes, encourages and validates a teacher's commitment to professional development, pedagogical excellence and effective performance.

3.3 The Governing Board will ensure that the appraisal process is managed in a way that avoids increased workloads for all parties concerned.

Grievances

3.4 Where a member of staff raises a grievance during the appraisal or capability process, the appraisal or capability process may be suspended to deal with the grievance. Where the grievance and appraisal or capability cases are related it may be appropriate to deal with both issues concurrently.

Confidentiality and Professional Relationships

3.5 The appraisal and capability processes will be treated with confidentiality. Only the appraiser's line manager/s will be provided with access to the appraisee's plan recorded in her/his statements. This will be done upon request and only where this is necessary to enable the line manager to discharge her/his line management responsibilities. Appraisees will be consulted on requests for access to statements in the context of this policy.

3.6 The process of gathering evidence for performance review will not compromise normal professional relationships between teachers. The Governing Board recognises that the reviewer will consult with, and seek to secure the agreement of, the reviewee before seeking information from other colleagues about his/her work.

3.7 However, the desire for confidentiality does not override the need for the Headteacher and Governing Board to quality-assure the operation and effectiveness of the appraisal system.

3.8 The Headteacher or appropriate colleague might, for example, review all teachers' objectives and written appraisal records personally to check consistency of approach and expectation between different appraisers. The Headteacher must also be aware of any pay recommendations that have been made.

Monitoring and Evaluation

3.9 The Governing Board and Headteacher will monitor the operation and effectiveness of the school's appraisal arrangements.

3.10 The Headteacher will provide the Governing Board 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

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

Retention

3.12 The Governing Board and Headteacher will ensure that all written appraisal records are retained in a secure place for at least six years after employment with the school ends and then destroyed.

4. THE APPRAISAL PERIOD

4.1 The appraisal period will run **for twelve months** normally from September to August each year.

4.2 Teachers who are employed on a fixed term contract of less than one year will have their performance managed in accordance with the principles underpinning this policy. The length of the period will be determined by the duration of their contract.

4.3. Where a teacher 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, with a view to bringing his/her cycle into line with the cycle for other teachers as soon as possible.

4.4 Where a teacher 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.

5. APPOINTING APPRAISERS

5.1 All appraisers of teachers, other than those appraising Headteachers, will be teachers and will be suitably trained.

Headteacher

5.2 The Headteacher will be appraised by the Governing Board, supported by a suitably skilled and/or experienced external adviser who has been appointed by the Governing Board for that purpose.

5.3 The task of appraising the Headteacher, including the setting of objectives, will be delegated to a sub-group consisting of normally three members of the Governing Board.

5.4 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.

Teachers

5.5 The choice of appraiser will be made by the Headteacher. Where teachers have an objection to the Headteacher's choice, their concerns will be carefully considered and, where possible, an alternative appraiser will be offered. All appraisers appointed by the Headteacher will be qualified teachers and will have current or recent teaching experience.

5.6 Where 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 herself/himself or delegate those duties to another teacher for the duration of that absence.

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

6. SETTING OBJECTIVES

6.1 Assessment will be based against the 8 standards from Part 1 of the Teaching Standards and the School Improvement Plan and targets and objectives will be set taking into consideration the individual needs of each teacher.

Teachers' standards - GOV.UK (www.gov.uk)

6.2 The Headteacher's objectives will be set by the appraisal sub-group of the Governing Board after consultation with the external adviser and the Headteacher.

6.3 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 and will be appropriate to the appraisee's role and level of experience.

6.4 In setting the objectives, reviewers will have regard to what can reasonably be expected in the context of roles, responsibilities, and experience, consistent with the school's strategy for achieving a work/life balance for all staff. Appraisees may at any point append their comments alongside their objectives.

6.5 The appraiser and appraisee will seek to agree the objectives. Objectives may be revised if circumstances change. The school operates a system of moderation to ensure that all appraisers are working to the same standards. Targets will be moderated across the school to ensure that they are consistent between teachers with similar experience and levels of responsibility. Should the objectives not be agreed, the final decision on allocation of objectives rests with the Headteacher.

6.5 The agreed objectives will contain a description of what success may look like. Where use of numerical targets is appropriate, these will be reasonable, in the circumstances in which the teacher works and it will be recognised that factors outside teachers' control may significantly affect success.

5.6 Other than in exceptional circumstances, no teacher will be given more than three objectives.

6.7 The objectives set for each teacher are intended to 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 take into account the professional aspirations of the teacher.

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

6.9 Before, or as soon as practicable after, the start of each appraisal period, each teacher will be informed of the standards against which that teacher's performance in that appraisal period will be assessed.

6.10 Teachers will be assessed against the appropriate set of standards contained in the document "Teachers' Standards" The Headteacher or Governing Board (as appropriate) will need to consider whether certain teachers should be assessed against other sets of standards published by the Secretary of State or other body that are relevant to them. For QTLS holders, that may include the overarching professional standards for teachers in the lifelong learning sector, held by the Learning and Skills Improvement Service.

7. PAY PROGRESSION

7.1 **From 1 September 2024, the Schoolteachers Pay and Conditions Document has removed the link between pay progression for teaching staff and performance, however the Local Authority recommends that as a model of good practice a whole school performance management policy/process continues to be implemented and its effectiveness monitored on an annual basis**.

7.2 **From the 2024/25 academic year, the requirement for objectives and the appraisal process to lead to performance-related pay outcomes for teachers and leaders will be removed, however the statutory requirement to make a pay decision following the completion of the appraisal process remains (Part 2, paragraph 19.2. of the STPCD 2024)**

7.3 Where teachers are eligible for pay progression, the recommendation made by the appraiser will be based on the assessment of their performance against the agreed 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.

7.4 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 School Teachers' Pay and Conditions Document. The Governing Board will ensure that decisions on pay progression are made by 31 December for Headteachers and by 31 October for other teachers.

8. LESSON OBSERVATIONS

8.1 The effective and efficient operation of the appraisal process requires lesson observation to be a confidential process of constructive engagement within an atmosphere of support and co-operation.

8.2 Accordingly, observations will be carried out in a supportive fashion, with professionalism, integrity, and courtesy, will be evaluated objectively and reported accurately and fairly and will take account of circumstances which may affect performance on the day.

8.3 At least **5 working days'** notice of the date and time of the observation will be given, and verbal feedback provided by at least by the end of the **next school day** and written feedback **within 5 working days**, unless circumstances make this impossible.

8.4 Classroom observation will be carried out by qualified teachers.

8.5 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.

8.6 The number and duration of appraisal observations will be in accordance with the school's observation protocol, which includes provision for exceptional circumstances where concerns have been raised about a teacher's performance, or where the teacher requests additional observation visits.

8.7 Headteachers or other leaders with responsibility for learning and teaching standards may "drop in" or undertake other observations to evaluate the standards of teaching and learning and to ensure that high standards of professional performance are established and maintained. The length and frequency of "drop in" or other observations, and the notice to be given, will vary depending on specific circumstances but will be in accordance with the school's classroom observation and drop-in policy.

8.8 For the purpose of professional development, feedback about lesson observations should be developmental, not simply a judgement using Ofsted grades.

8.9 This school will 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 on which teachers are observed.

8.10 Teachers (including the Headteacher) whose posts have responsibilities outside the classroom should also expect to have their performance of those responsibilities observed and assessed.

9. DEVELOPMENT AND SUPPORT

9.1 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, through peer observation for example. Professional development will be linked to school improvement priorities and to the on-going professional development needs and priorities of individual teachers.

9.2 The school's CPD programme will be informed by the training and development needs identified as part of the appraisal process. The Governing Board will ensure in the budget planning that, as far as possible, resources are made available in the school budget for appropriate training, and support agreed for appraisees, maintaining access on an equitable basis.

9.3 An account of the training and development needs of teachers including the instances where it did not prove possible to provide any agreed CPD, will form a part of the Headteacher's annual report to the Governing Board about the operation of the appraisal process in the school.

9.4 With regard to the provision of CPD in the case of competing demands on the school budget, a decision on relative priority will be taken about the extent to which:

a) the training and support will help the school to achieve its priorities; and

b) the CPD identified is essential for an appraisee to meet their objectives.

9.5 account will be taken in a review meeting of where it has not been possible for teachers to fully meet their performance criteria because the support recorded in the planning statement has not been provided.

10. REVIEWING PERFORMANCE AND ANNUAL ASSESSMENT

10.1 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.

10.2 A range of different methods will be utilised, in a supportive manner, to assess teacher performance.

10.3 The teacher will receive as soon as practicable following the end of each appraisal period – and can comment on - a written appraisal report.

10.7 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 against the relevant standards.

- an assessment of the teacher's training and development needs and identification of any action that should be taken to address them.
- a recommendation on pay where that is relevant
  (N.B. – pay recommendations need to be made by 31 December for Headteachers and by 31 October for other teachers).
- a space for the teacher's own comments.

10.5 A review meeting will take place to discuss the content of the report and any further action required and to inform objective setting for the next cycle. In some circumstances an interim review meeting may be appropriate.

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

11. TEACHERS EXPERIENCING DIFFICULTIES

11.1 When dealing with a teacher experiencing difficulties, the objective is to provide support and guidance through the appraisal process in such a way that the teacher's performance improves and the problem is, therefore, resolved.

11.2 Where it is apparent that a teacher's personal circumstances are leading to difficulties at school, support will be offered as soon as possible, without waiting for the formal annual assessment.

11.3 If an appraiser identifies through the appraisal process, or via other sources of information, for example parental complaints, that the difficulties experienced by a teacher are such that, if not rectified, could lead to capability procedures the appraiser, the Headteacher, or a member of the leadership team, will, as part of the appraisal process meet the teacher 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 inform the teacher that he/she has the right to be assisted by a representative of an independent trade union or workplace colleague, and at any future meetings where capability will be discussed.
- in consultation with the teacher at the above meeting, an action plan with support will be established (for example coaching, training, in-class support, mentoring, structured observations, visits to other classes or schools or discussions with advisory teachers), that will help address those 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.

11.4 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. This will depend upon the circumstances but will be for a minimum period of six weeks, with appropriate support as agreed in the Action Plan, in order that the aim of recovering and improving performance can be achieved. 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.

11.5 If sufficient progress is made such that the teacher is performing at a level that indicates there is no longer a possibility of capability procedures being invoked the teacher should be informed of this at a formal meeting with the appraiser or Headteacher. Following this meeting the appraisal process will continue as normal.

11.6 If no, or insufficient, improvement has been made over this period, the teacher will be invited to a transition meeting to determine whether formal capability proceedings need to be commenced

or the appraisal process remains in place. The teacher may be assisted by a trade union representative or work colleague and will have at least **5 working days'** notice of the meeting.

12. TRANSITION TO THE CAPABILITY PROCEDURE

12.1 If a teacher demonstrates serious underperformance or has not responded to support provided within the informal support process, the teacher will be notified in writing that the appraisal system will no longer apply and that their performance will be managed under the school's Capability Policy and Procedure and will be invited to a formal capability meeting. **Advice should be sought at this stage from the Schools Workforce HR & Development Team (or an appropriate HR Advisory support provider).**

12.2 Disciplinary procedures will only be triggered by factors related to misconduct or breach of the profession standards, but if appropriate may run concurrently with the Capability process.

13. MATERNITY LEAVE

13.1 The School will take a practical approach to conducting appraisals for members of staff who are on maternity leave.

13.2 Where practicable, the annual appraisal may be held with the teacher before they commence a period of maternity leave or as soon as possible after they return from maternity leave. This may mean that the appraisal takes place out of sync with the school's normal performance management cycle.

13.3 The school will base the appraisal on the teacher's performance to date and may use previous appraisals to form a bigger picture where appropriate.

13.4 Targets and objectives will be adjusted to reflect achievability in the time prior to maternity leave. These targets and objectives will be commensurate with those set for other teachers with the same level of responsibility.

13.5 Teachers who are absent due to maternity leave during the appraisal cycle will be given any pay increase, they would have received, if they had not been absent, either on their return from maternity leave or during the normal pay decision cycle.

13.6 Keeping in Touch (KIT) days will not be used for the purposes of the appraisal process.

14. SICKNESS

14.1 If a teacher is absent from work as a result of a sustained period of sick leave during the intervening period between the last performance review and the current performance management cycle or they are on a period of long-term sick when the appraisal process is conducted the school will consider the individual circumstances of each case and the appraisal information and evidence available when considering the appraisal review.

14.2 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. It will normally be referred to the occupational health (OH) service to assess the member of staff's health and fitness for continued employment and the appropriateness or otherwise of continuing with monitoring or formal procedures.

14.2 In some cases it may be appropriate for formal procedures to continue during a period of sickness absence. However, the views of the OH physician will always be taken into account before a decision is reached.

15. APPEALS

15.1 Appraisees have a right of appeal against any of the entries in the written appraisal report. Details of the appeals process are available from the Headteacher or from the school Governing Board.