



## TEACHERS' APPRAISAL POLICY

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**RESPONSIBLE PERSON(S):** CHIEF EXECUTIVE  
HEADTEACHER

**CURRENT VERSION:** 002

**DATE APPROVED:** 11 JULY 2019

**REVIEW CYCLE:** 3 YEARS

**NEXT REVIEW DATE:** 2022

### REVIEW

The Board of Trustees have reviewed and agreed this policy in accordance with the legal requirements and/or recommendations of good practice.

Having agreed the policy, the Trustees undertake to review or amend the policy if the:

- Government or local authority, i.e. Oxfordshire County Council, produce new or revised regulations and/or guidance;
- The Trust identifies and recommends changes which will serve to improve the policy, support the implementation of the policy and/or the related policy processes.

**APPROVED BY THE BOARD OF TRUSTEES on 11 July 2019**

**RESPONSIBLE BODY**

Within this policy “responsible body” means the Trust and/or Trustees of the Abingdon Learning Trust. The responsible body will endeavour to ensure that the level of related training, support, financial and non-financial resources are adequate to the fulfil the responsible body’s functions in respect of this policy.

**RESPONSIBLE PERSONS**

The responsible persons accept the responsibility and accountability, delegated to them by the responsible body, and undertake to ensure adherence to, and the implementation of this policy and associated procedures.

## Introduction

Revised appraisal arrangements for teachers came into force from 1 September 2012. They are set out in the Education (School Teachers’ Appraisal) (England) Regulations 2012 (the Appraisal Regulations) replacing the Education (School Teacher Performance Management) (England) Regulations 2006 (the 2006 Regulations).

The Appraisal Regulations do not apply to teachers and Headteachers in academies. However, it is good practice for all schools to have a system for managing the performance of staff and it is suggested that academies also adopt this model policy.

The Appraisal Regulations set out the principles that apply to teachers in all maintained schools and unattached teachers employed by a local authority, in each case where they are employed for one term or more. They retain the key elements of the 2006 Regulations but allow schools more freedom to design arrangements to suit their own individual circumstances. They provide the minimum national framework within which schools should operate.

The Abingdon Learning Trust has chosen to stay within the legal framework set out in the Appraisal Regulations and in other relevant legislation that affects all employers such as equality legislation, employment protection and Data Protection.

Schools must have an appraisal policy for teachers and a policy, covering all staff, which deals with lack of capability. The Trust has such a policy as a separate document.

This Appraisal Policy has been provided as a model by OCC, which is developed from the model published by the Department for Education. It includes additional details where it is considered that these are helpful to the operation of an effective procedure. The Oxfordshire model policy has been drawn up following consultation with all the recognised Trade Unions and Associations.

This model policy applies only to teachers, including Headteachers.

**This model Appraisal Policy has been revised to take account of changes to the School Teachers' Pay and Conditions Document 2018 and is in line with the Oxfordshire Model Pay Policy for Teachers September 2018.**

## General Principles

### The role of the Abingdon Learning Trust

Throughout this procedure the trustees will discharge their responsibilities through the Headteachers, supported by the CEO, in all ALT schools.

## Definitions

The term “relevant body” has been used throughout this policy. In the Abingdon Learning Trust, this is the Local Academy Board, who make recommendations to the F&GP committee for pay decisions.

Unless indicated otherwise, all references to “teacher” include the head teacher.

## Consistency of Treatment and Fairness

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

## Delegation

Normal rules apply in respect of the delegation of functions recorded in the ALT Scheme of Delegation.

## Monitoring and Evaluation

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

Advice and guidance on any aspect of this policy is available from the Trust's HR Adviser and CEO.

# Appraisal Policy for Teachers and Headteachers

## Purpose

1. This policy sets out the framework for a clear and consistent assessment of the overall performance of teachers, including the head teacher, and for supporting their development within the context of the school's plan for improving educational provision and performance, and the standards expected of teachers.
2. Pay progression for all teachers must be linked to performance. Where teachers are eligible for pay progression, the assessment of performance through the appraisal procedure will be the basis on which a recommendation is made and this will be in accordance with the School Teachers' Pay and Conditions Document 2018 ("the Document").
3. The appraisal procedure will be used also to address any concerns that are raised about a teacher's performance. If the concerns cannot be resolved through the appraisal process, performance will be managed under the Professional Capability Procedure.

## Application of the appraisal procedure

4. This procedure applies to the Headteacher and to all teachers employed by the school or local authority, except those on contracts of less than one term<sup>1</sup>, those undergoing induction (i.e. Newly Qualified Teachers) and those who are subject to formal capability procedures.

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<sup>1</sup> One term refers to the three main terms of the school year as set out in Conditions of Service for School Teachers in England and Wales (the Burgundy Book).

5. Appraisal in this school will be a supportive and developmental process 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.

## The appraisal period

6. The appraisal period will run for twelve months from 1 September to 31 August.
7. Teachers 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 appraisal period will be determined by the duration of their contract.
8. Teachers who start their employment part-way through the appraisal cycle will have their performance managed over a longer or shorter appraisal period as the head teacher determines most appropriate, with the aim of bringing them into line with the cycle for all other teachers as soon as possible.
9. If a teacher transfers to a new post within the school part-way through the appraisal cycle, the head teacher will consider whether it is appropriate to continue with the current cycle and/or to revise the objectives in line with the new post.

## Appointing appraisers

### For the Headteacher

10. The Headteacher will be appraised by two members of the Local Academy Board (LAB), supported by the CEO, known as the appraisal sub-group.
11. Where a Headteacher is of the opinion that either of the two members from the LAB is unsuitable to act as his/her appraiser, he/she may submit a written request to the CEO for that person to be replaced, stating the reasons for the request.

### For Teachers

12. The Headteacher will decide who will appraise other teachers. Where the head teacher decides to delegate appraisal to line managers, this will include all aspects of the process.

In this Trust:

- The Headteacher will normally be the appraiser for those teachers she/he directly line manages and the relevant line manager will be the appraiser for those teachers who they line manage.
13. Where a teacher has more than one line manager the Headteacher will decide which line manager is best placed to be the appraiser.
  14. Where a teacher is of the opinion that the person appointed is unsuitable to act as the appraiser, he/she may submit a written request to the Headteacher for the appraiser to be replaced, stating the reasons for the request.
  15. All appraisers will receive appropriate training and guidance in these procedures.

## Setting objectives

### For the Headteacher

16. Before, or as soon as practicable after the start of each appraisal period, the Relevant Body must inform the head teacher of the standards against which their performance will be assessed and set objectives for that period.
17. The Headteacher's objectives will be set by the appraisal sub-group.
18. The appraisal sub-group and the Headteacher will seek to agree the objectives but, if that is not possible, the appraisers will determine the objectives. Objectives may be revised if circumstances change.

### For Teachers

19. Before, or as soon as practicable after the start of each appraisal period, the Headteacher must inform each teacher of the standards against which their performance will be assessed and ensure that objectives are set for that appraisal period.
20. All teachers must be assessed against the [Teachers' Standards](#). The *Teachers' Standards* can be found in Annex A. The Headteacher will need to consider whether certain teachers should also be assessed against other sets of standards published by the Secretary of State that are relevant to them, in discussion with the CEO.

21. 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 Specific, Measurable, Achievable, Realistic and Time-bound and will be appropriate to the teacher's role and level of experience. In setting objectives, the appraiser 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.
22. The objectives set for each teacher 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 objectives should also support teachers' professional development.
23. In this Trust, all teachers, including the Headteacher, will normally have no more than three objectives.
24. The appraiser and teacher 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.
25. Objectives will be moderated across the school by the Headteacher to ensure that they are consistent between teachers with similar experience and levels of responsibility.
26. The CEO or Head of HR may undertake a similar exercise across the Trust to ensure that objectives are consistent between all ALT teachers with similar experience and levels of responsibility.

## Pay progression

27. Where teachers are eligible for pay progression, the recommendation made by the appraiser will be based on the assessment of their performance against the relevant teacher standards and their agreed objectives. The recommendations made by the Relevant Body will be based on the criteria and guidance set out in the Pay Policy<sup>2</sup>. (NB – pay recommendations for teachers must be made by 31 October and for the Headteacher by 31 December).

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<sup>2</sup> Please refer to the Pay Policy for Teachers.

## Reviewing performance

### Observation

28. This trust believes that observation of classroom practice and other responsibilities is important in developing teachers' pedagogy in order to identify particular strengths; training needs and to gain useful information which can inform school improvement more generally.
29. In this trust, teachers' performance will be regularly observed but the amount and type of classroom observation will depend on the individual circumstances of the teacher and the overall needs of the school. All observation will be carried out in a developmental way and in line with each school's monitoring and evaluation protocols.
30. Classroom observation for the purpose of appraisal will only be carried out by those with Qualified Teacher Status (QTS).
31. In addition to formal observation for the purposes of appraisal, Headteacher or other leaders with responsibility for teaching 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 in" observations will vary depending on specific circumstances and will be carried out in line with the school's protocols.
32. Teachers (including the head teacher) who have responsibilities outside the classroom should also expect to have their performance of those responsibilities observed.

### Feedback

33. Teachers will receive developmental feedback on their teaching 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.

### Development and support

34. Appraisal is a supportive process which will be used to inform continuing professional development. The Trust 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 on-going professional development needs and priorities of individual teachers.
35. The school's continuing development (CPD) programme will be informed by the professional development needs identified as part of the appraisal process. The Relevant Body will ensure that, as far as possible, resources are made available in the school budget for appropriate training and support agreed through the appraisal process.

## Assessment

36. Each teacher's performance will be formally assessed in respect of each appraisal period. In assessing the performance of the head teacher, the Relevant Body must consult the CEO.
37. 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 (*e.g. three times a year*).
38. 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 head teacher). The appraisal report will include:
  - details of the teacher's objectives for the appraisal period;
  - an assessment of the teacher's performance of their role and responsibilities against the relevant standards. Where the standards are being met detailed written evidence will not normally be required. However, if there are concerns that standards are not being met these should be evidenced;
  - an assessment of the teacher's performance of their role and responsibilities against their objectives;
  - 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;
  - a space for the teacher's comments.
39. A review meeting will take place to discuss the content of the written appraisal report and any action required, and to inform objective setting for the next cycle. The assessment of performance and of professional development needs will inform the planning process for the following appraisal period.

## Appeals

40. Teachers have a right of appeal against any of the entries in their written appraisal report. If a teacher feels that an entry is wrong or unjust, they may appeal in writing within five working days of receiving their written appraisal report, setting out at the same time the grounds for appeal. Where a teacher wishes to appeal on the basis of more than one entry this would constitute one appeal hearing.

41. If the reason for appeal is associated with a decision on pay progression the appeal process in the Trust's Pay Policy should be followed.
42. In all other cases the appeal will be considered by a senior manager or an individual member of the relevant body who has not been previously involved with the case. Appeals will be heard without unreasonable delay and, where possible, at an agreed time and place. The teacher will be given at least five working days' notice of the date of the hearing and has the right to be accompanied by a trade union representative or a work colleague. Notes will be taken and a copy sent to the employee.
43. Appeals should normally be restricted to considering the reasonableness of the decision made, any relevant new evidence or any procedural irregularities.
44. The employee will be informed in writing of the results of the appeal hearing within three working days of the date of the hearing.

## Confidentiality

45. The appraisal process and the written appraisal report will be confidential. However, confidentiality does not override the need for the Headteacher and relevant body to quality-assure the operation and effectiveness of the appraisal system. *Annually the Headteacher will provide a written report on the operation and impact of this policy, as part of their Headteacher Report to LABs, and a Trust overview is provided to the Compliance Committee annually by the CEO.*

## Record Retention

46. The relevant body and Headteacher will ensure that all written appraisal records are retained in a secure place for six years and then destroyed.

## Concerns about a teacher's performance – Structured Managerial Support

47. Where there are concerns about any aspects of a teacher's performance at any time during the year, the appraiser will, as part of the appraisal process, meet the teacher to arrange the provision of structured managerial support: The Appraiser will:
48.
  - give clear feedback about the nature and seriousness of the concerns;
  - give them the opportunity to comment on and discuss the concerns;
  - agree any support e.g. coaching, mentoring, structured observations, that will be provided to 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.
49. The teacher should be advised, in advance, of the nature and purpose of the meeting and given the opportunity to bring a union representative or work colleague to the meeting, if they wish.
  50. Notes will be taken of the meeting and a copy given to the member of staff within three working days of the meeting, including where appropriate an action plan setting out the structured managerial support.
  51. The teacher’s progress will continue to be monitored as part of the appraisal process. It may be appropriate to revise objectives. It will be necessary to allow sufficient time for improvement; this will depend on the circumstances but will normally be for a period of not less than four to six working weeks<sup>3</sup>.
  52. 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.
  53. If the appraiser is not satisfied with progress, the teacher will be notified in writing that the appraisal system will no longer apply and that their performance will be managed under the Professional Capability Procedure. He/she will be invited to a “Formal capability meeting” under this Procedure.
  54. Full details of the procedure to be followed are contained in a separate Professional Capability Procedure.

**Further advice and support is available from the Trust’s HR Adviser, via the Head of HR.**

## **ANNEX A**

Teacher’s Standards

**INSERT**

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<sup>3</sup> It is for the person conducting the meeting to determine the set period which should be between four and ten working weeks. It should be reasonable and proportionate and should provide sufficient opportunity for an improvement to take place.



Please provide honest responses to the following areas of their work. Only tick 'Y' if there is clear evidence to support your judgement.

Tick 'N' if there is no evidence to support your judgement. List the evidence that you have seen.

**Has the teacher continued to meet The 10 Threshold Standards?**

	<b>Threshold ('P' Standards)</b>	<b>Y</b>	<b>N</b>	<b>Evidence</b>
1	Contribute significantly, where appropriate, to implementing workplace policies and practice and to promoting collective responsibility for their implementation.			
2	Have an extensive knowledge and understanding of how to use and adapt a range of teaching, learning and behaviour management strategies, including how to personalise learning to provide opportunities for all learners to achieve their potential.			
3	Have an extensive knowledge and well-informed understanding of the assessment requirements and arrangements for the subjects/curriculum areas they teach, including those related to public examinations and qualifications.			
4	Have up-to-date knowledge and understanding of the different types of qualifications and specifications and their suitability for meeting learners' needs.			

5	Have a more developed knowledge and understanding of their subjects/curriculum areas and related pedagogy including how learning progresses within them.			
6	Have sufficient depth of knowledge and experience to be able to give advice on the development and well-being of children and young people.			
7	Be flexible, creative and adept at designing learning sequences within lessons and across lessons that are effective and consistently well-matched to learning objectives and the needs of learners and which integrate recent developments, including those relating to subject/curriculum knowledge.			
8	Have teaching skills which lead to learners achieving well relative to their prior attainment, making progress as good as, or better than, similar learners nationally.  (Use FFTB data)			
9	Promote collaboration and work effectively as a team member.			

10	Contribute to the professional development of colleagues through mentoring, demonstrating effective practice, and providing advice and feedback.			

Has the teacher had **two consecutive successful performance management reviews** in the last two years?

	Y	N	Comments
Performance Management targets met in (state academic year)			
Performance Management targets met in (state academic year)			

Has the teacher '**grown professionally by developing their expertise post-threshold**' and made a '**sustained and substantial contribution**'?

Aspect	Y	N	Evidence

<p>This teacher is a 'role model for teaching and learning' (<i>In most cases, this will mean that the teacher is a good or outstanding teacher, and that they are able to demonstrate effective practice to colleagues.</i>)</p> <p>(<i>Evidence will be lesson observation forms, and judgements on lessons; examples of INSET the teacher has been asked to lead; examples from peer observation/learning walks etc..</i>)</p>			
<p>This teacher makes a sustained and substantial contribution to raising of student standards eg "<i>Through coaching staff, leading INSET etc.</i>"</p>			
<p>This teacher has 'grown professionally by developing their teaching expertise since passing through the Threshold' eg <i>uses professional development to help raise standards.</i></p>			

Wider contribution to the school or school community beyond the classroom eg <i>extra curricular activities, NQT induction tutor.</i>			
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Assessment and Recommendation

- There is **clear evidence** of substantial and sustained performance and contribution to the life of the school over the past 2 years. Recommend movement to UPS 2/3.
  
- There is **insufficient evidence** of substantial and sustained performance and contribution to the life of the school over the past 2 years. Recommend remain on UPS 1/2.

Comments (if appropriate):

Line Manager (signature) \_\_\_\_\_

Date \_\_\_\_\_

**COMPLETE AND RETURN IN A SEALED ENVELOPE TO THE HEADTEACHER**

Thank you for completing this exercise.

# ANNEX D

## Career stage expectations

Area	BAND 1			BAND 2			BAND 3			TLR post holder	Assistant / Deputy Head
	M1	M2	M3	M4	M5	M6	UPS 1	UPS 2	UPS 3		
Professional Practice	-Most pupils make good progress.	- Take part in workshops for parents etc with support.	-All pupils make good progress.	-All pupils make good progress. -Begin to lead some aspects of staff meetings.  - Lead aspects of workshops.	-All pupils make good progress with some making outstanding progress -Lead some aspects of staff meetings.	-Lead staff meetings in areas of expertise. - Lead staff teams.	-All pupils make good progress with many making outstanding progress (in specialist subject). -Lead workshops. - Lead aspects of the SDP.	- All pupils make good progress with many making outstanding progress. - Monitor staff teams & projects.	- All pupils make good progress with most making outstanding progress - Monitor key stage / whole school projects & teams.	-All pupils make good progress with most making outstanding progress.  -Leading teaching and learning throughout the school within their defined specialism.  -Lead sections of the SDP.	-Responsibility for larger sections of the SDP and School Evaluation. -Major lead in planning, organising and leading staff meetings. -Schedule workshops across the school for staff and parents.
Professional Outcomes	-Cohort and main groups achieve in line with national expectations.  -Class data analysed, with support, and changes made to own practise.	-Class data analysed and changes made to own practise.  -Take responsibility for subject leadership, with support.	-Cohort and most groups achieve in line with national expectations.  -Lead a subject area effectively tracking progress within the subject.	-Share analysis of class data with colleagues to identify common areas to improve and effect the necessary changes.	-Almost all pupils achieve in line with national expectations and some exceed them.  -Implement relevant initiatives linked to subject led.	-Almost all pupils achieve in line with national expectations and many exceed them. -Key stage/subject/cohort data analysed and changes made to improve standards.	-Whole school data in specific subjects analysed & changes made to improve standards. -Work with individuals to effect improvement of standards across a KS.	-Almost all pupils achieve in line with national expectations and most exceed them.  -Work with groups of staff to effect improvement of standards across a KS.	-Work with groups of staff to effect improvement of standards across the school.	-Monitor, analyse & evaluate data & in defined specialism against school, national and other benchmarks to provide strategies for whole school improvement.  -Work with groups of staff to effect improvement of standards across the school.	-Monitor, analyse & evaluate whole school data against school, county, national and other benchmarks to provide strategic plans for whole school improvement.  -Work with the staff to effect improvement of standards across the school.
Professional Relationships	-Positive working relationships with pupils, colleagues and parents.	-Secure working relationships with pupils, colleagues and parents.	-Good working relationships with pupils, and parents which focus on improving provision for individuals. -Good working relationships with colleagues improves own practise.	- Professional relationships with pupils and parents improves provision for class/subject groups.	-Professional relationships with pupils, colleagues and parents leads to effective class/subject provision for all groups.  - Lead aspects of CPD in areas of expertise within own Key Stage/subject area.	-Professional relationships with pupils, colleagues and parents leads to effective class/subject provision for all groups.	- Build & lead small teams to improve provision and outcomes.  -Begin to lead CPD across the school. -Mentor colleagues	-Confidently lead CPD across the school.	-Build and lead school-wide teams to improve provision and outcomes.  -Actively lead CPD across the school.	-Build and lead school-wide teams to improve provision and outcomes in defined specialism area and develop strategies to utilise this knowledge across other curriculum areas.	-Build and lead school-wide teams to improve provision and outcomes for the whole school.

							incl' co-coaching.				
Professional Development	-Able, with support, to identify key professional development needs and respond to advice.	-Able to identify key professional development needs and responds to advice.	-Takes a proactive role in accessing relevant support and professional development.	-Competent, reflective practitioner who makes him/herself aware of changes in current practice.	-Competent, reflective practitioner who keeps up to date with current practice and adopts accordingly.	-Competent, reflective practitioner who uses action research to improve his/her teaching practices.	-Proactively leads the professional development of colleagues within a specific area. -Mentoring new colleagues.	-Proactively leads the professional development of colleagues within a key stage.	-Proactively leads the professional development of colleagues within a key stage.	-Proactively leads the professional development of colleagues across more than one key stage.  - Engage with and contribute to local professional networks outside the school.	-Proactively leads the professional development of colleagues across the school.  - Engage with and contribute to the professional networks beyond the school.
Professional Conduct	Meet all standards	Meet all standards	Meet all standards	Meet all standards	Meet all standards	Meet all standards	Meet all standards	Meet all standards	Meet all standards	-Meets all standards. -Assume the role of Head/Deputy in their absence. -Involved in the day to day leadership of the school.	-Meets all standards. -Assume the role of Head in his/her absence.