

# Academy Appraisal Policy

Adopted by the School on: (Date)

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# 1. Introduction

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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 development within the context of the Academy's plan for improving educational provision and performance, and the standards expected of teachers. It also sets out the process by which performance will be directly linked to pay progression.

## 2. Scope

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This policy applies to the Headteacher and to all teachers employed by the Academy, except those on contracts of less than one term, those undergoing induction (*ie Early Career Teachers*) and those who are subject to a formal capability process.

The Academy expects all members of the leadership and teaching staff to perform at the highest possible level and to continue to improve their professional practice year on year. The performance Management objectives in this Academy will be progressive and developmental, thereby ensuring that good performance is rewarded and that good teachers have the opportunity over a number of years, to progress to the maximum of their respective pay range.

## 3. Equality Statement

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This policy applies equally to Academy employees regardless of their age, disability, sex, race, religion or belief, sexual orientation, gender reassignment, pregnancy and maternity, marriage or civil partnership. Care will be taken to ensure that no traditionally excluded groups are adversely impacted in implementing this policy. Monitoring will take place to ensure compliance and fairness.

## 4. The Appraisal Period

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**The appraisal period will run for twelve months** normally from September to August, i.e. the academic year.

Decisions on performance pay progression are based on an assessment of the overall performance of the teacher.

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.**

Where a teacher starts their employment at the Academy part-way through a cycle, the Headteacher or, in the case where the employee is the Board of Trustees 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.

## **5. Appraisal Cycle 2021-2 – impact of Coronavirus Pandemic**

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The Academy will continue to adhere to the School Teachers' Pay and Conditions Document (STPCD), which includes the requirement to ensure that all pay progression for teachers is linked to performance management. However, it is fully recognised that during Academic year 2020-21, Schools have continued to be disrupted and impacted by the Coronavirus Pandemic which has led to periods of time where performance cannot be judged as would normally be the case.

The Academy appreciates that this is the case, and no member of staff will be penalised during the appraisal process or in respect of any subsequent pay progression decisions as a result of the decision to restrict pupil attendance at schools, such as where this has had an impact on the ability of the teacher to meet fully their objectives.

In using this policy during 2021, the Academy will seek to take a practical and pragmatic approach to appraisal and pay progression and will work with staff to agree the best approach.

### **Amending performance management objectives and evidence**

The Academy recognises the need to be flexible in relation to COVID restrictions that have been in place and may be required in the future to ensure a COVID secure environment. It recognises therefore, that it may not be practical at times and where there are restrictions in place, to use all of the methods set out within this policy in order to gather evidence.

The Academy will take into consideration any restrictions, problems and issues that may have arisen, when making any decisions about the overall performance of the member of staff and will seek to ensure fairness and equity in all of its pay decisions.

### **Determining performance and Pay progression**

In determining the performance of the member of staff, the Academy will take into account that since September 2020, due to the Coronavirus Pandemic, there have continued to be inconsistencies across the staff group such as:

- Those staff available to continue working on health grounds
- Availability of work
- Unfamiliar work e.g. being placed in a different bubble
- Ability to work at home
- Available use of or access to technology
- Increased workloads created in responding to the pandemic with limited staffing team.

## **Setting new performance management objectives**

The Academy recognises that the Coronavirus Pandemic is continuing and will be likely to impact across the Academic Year 2021-2022 and possibly beyond. It will take this into consideration when setting performance management targets for all staff to seek to ensure that all targets are Specific, Measurable, Achievable, Realistic and Timely.

The remainder of this policy will apply subject to the above points being fully considered.

## **6. The Appraisal Process**

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Despite the appraisal process for teachers being linked to pay, the purpose of the Appraisal process remains that of being a largely supportive process which will be used to inform continuing professional development.

The Academy wishes to encourage a culture in which all teachers take responsibility for improving their teaching through appropriate professional development, e.g. through peer observation. Professional development will be linked to School improvement priorities and to the ongoing professional development needs and priorities of individual teachers.

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 with regard to the extent to which:

- the training and support will help the Academy to achieve its priorities; and
- the CPD identified is essential for a teacher to meet their objectives.

Each teacher should receive an appraisal report which will include an assessment of their professional development needs as well as to assess the overall performance of the teacher. It will be the overall performance of the teacher that will impact on any decision regarding pay progression. Where overall performance requires specific support and or training to be given/undertaken, this should be identified within the report. Future appraisal assessments will take into account the extent to which identified support and training has been provided.

### **Appointing Appraisers**

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

## Headteacher

**The headteacher will be appraised by the Board of Trustees, supported by a suitably skilled and/or experienced external adviser who has been appointed by the Academy for that purpose.**

In this Academy the task of appraising the Headteacher, including the setting of objectives, will be delegated to 2 members of the Board of Trustees and an external adviser.

## Teachers

The Headteacher will decide who will appraise other teachers and who will collate evidence that will be considered when decisions are made regarding pay progression.

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.

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

If a teacher has concerns about the appraiser appointed by the Headteacher, she / he may make a written request for the appraiser to be changed. Any request will be considered by the Headteacher. The Headteacher's decision will be final and there is no right of appeal.

## Setting Objectives

### Headteacher

The Headteacher's objectives will be set by the Board of Trustees (appraisal sub-group) after consultation with an external adviser.

### Teaching staff

**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.

The appraiser and teacher will seek to agree the objectives but, if that is not possible, the appraiser will determine the objectives in conjunction with the Headteacher. Objectives may be revised if circumstances change.

**The objectives set for each teacher will, if achieved, contribute to the Academy's plans for improving the Academy's educational provision and performance and improving the education of pupils at that Academy.** This will be ensured by monitoring all objectives set against the Academy improvement plan. Objectives will be also be monitored across the Academy to ensure that they are consistent between teachers with similar experience and levels of responsibilities.

**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 and the likely impact on pay.**

## **7. Reviewing Performance**

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There are a number of methods by which evidence of the overall performance of the teacher will be gathered. For example through observations, collation of data, delivery against performance management targets etc.

### **Observations**

- This 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 Academy improvement more generally. All observation will be carried out in a supportive fashion, with professionalism, integrity and courtesy. It will be evaluated objectively and reported accurately and fairly and will take account of particular circumstances which may affect performance on the day.
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- A Classroom Observation Protocol for this Academy is appended to this policy in [Annex 1](#).
- In this Academy, 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 Academy. The way that observations will be used to determine teacher's pay is set out in a later section of this policy.
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- Classroom observation will be carried out by those with QTS. In addition to formal observation, Headteachers 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.
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- Teachers (including the Headteacher) who have responsibilities outside the classroom should also expect to have their performance of those responsibilities observed and assessed.

### **Feedback on Performance**

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 so that the teacher can work to improve their overall performance.

Feedback will highlight particular areas of strength as well as any areas that need attention.



Where there are concerns about any aspects of the teacher's performance the appraiser will, as part of the appraisal process, 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;
- agree any support (eg coaching, mentoring, structured observations), that will be provided to help address those specific concerns;
- make it clear how, and by when, the appraiser will review progress (it may be appropriate to revise objectives, and it will be necessary to allow sufficient time for improvement. The amount of time is up to the Academy but should reflect the seriousness of the concerns);
- highlight, where performance is causing concern, any consequences for failing to make the necessary improvements (i.e. possible impact on pay and or formal capability).

It is important that written records are kept of any formal discussions regarding a teacher's performance and that they are shared with the teacher concerned. The written record should cover the main issues as set out in the bullet points above.

Where following a review of progress 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.

If no, or insufficient, improvement has been made over this period, the teacher will be invited to a **formal transition meeting** to determine whether formal capability proceedings need to be commenced or not. 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. Where formal Capability is required, the Academy will follow their Capability process. Where it is not deemed necessary to invoke formal Capability, agreement will be made as to how performance will continue to be monitored.

## 8. Performance Objectives Linked to Pay Progression

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In order to secure pay progression, it will be necessary for the teacher to evidence how they have met criteria in four key areas:

- **Progress against Performance Management Objectives**
- **Quality of Teaching and Learning**
- **Meeting Teachers' Standards**
- **Current disciplinary warnings**

Further explanation of each of these 4 points is provided below:

- **Progress against Performance Management Objectives**

In normal circumstances no more than 3 performance objectives will be set for teachers. For members of the Senior Leadership Team up to 5 performance objectives may be set.

An objective may cover more than one appraisal cycle. Where this is the case the objective will require milestones to be assessed on the progress made at the end of each appraisal period.

Teachers are required to demonstrate that they have met their performance management objectives. At the initial performance management meeting, the Appraiser should set out the objectives for the following 12 months.

It is recognised that these targets may change due to a shift in priority or because CPD may not be available etc. Where this is the case, it is important that changes in expectation for the teacher are documented so that both parties are clear as to any changes that have been made to the objectives.

This will ensure that when it comes to the need for a decision about pay to be made, there is clear documented evidence to explain any factors which have impacted on the teacher's ability to meet the initial targets / objectives that were set.

- **Quality of Teaching and Learning**

- Teachers are required to demonstrate that their teaching is of a sufficient and consistent quality as evidenced from a range of monitoring that might include lesson observations, learning walks, book scrutiny and pupil interviews. Some type of monitoring will normally take place half termly with at least 3 weeks' notice normally given. The frequency and type of monitoring might increase or decrease depending on outcomes. Good practice if for more than one person to carry out the monitoring.
- **Pupil progress to be at the expected level or better over the academic year as evidenced from data tracking**
- **Consistently Good marking, assessment and feedback as evidenced from monitoring. See the Teaching and Learning Assessment Policy.**
- **Behaviour management to be Good or better as evidenced in lesson observations and appropriate use of the Academy's code of conduct.**

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- **Meeting Teacher's Standards**

All teachers are expected to evidence they meet **all nine** of the Teachers' standards. The assessment of these would be Met or Not Met. Each of the nine standards are defined clearly in the DFE Teachers' Standards document

They are:

- Set high expectations which inspire, motivate and challenge pupils
- Promote good progress and outcomes by pupils
- Demonstrate good subject and curriculum knowledge
- Plan and teach well-structured lessons
- Adapt teaching to respond to the strengths and needs of all pupils

- Make accurate and productive use of assessment
- Manage behaviour effectively to ensure a good and safe learning environment
- Fulfil wider professional responsibilities
- Demonstrate consistently high standards of personal and professional conduct

- **Current disciplinary warnings**

Any staff member with a live disciplinary warning during the preceding academic year for attendance, capability or conduct will automatically be prevented from moving up the main pay scale or upper pay scale at the end of that year and will be precluded from making a threshold application in the current cycle.

## **Collating evidence**

The evidence which will be considered in assessing overall performance will include:

- pupil progress data;
- quality of teaching against the Teaching Standards, including observed practice;
- self-assessment;
- professional dialogue;
- received feedback;
- performance management statements;
- CPD records.

In addition, in the case of Upper Pay Range teacher and Lead Practitioners, evidence of their contribution beyond their own classroom and their impact on the wider Academy will also be required.

Where a teacher has been absent for some or all of the assessment period, an assessment will be based on performance during any periods of attendance and/or prior performance.

## **9. Annual Assessment**

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

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 (*eg once a term*).

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 Academy, teachers will receive their written appraisal reports by 31 October (31 December for the Headteacher). The appraisal report will include:

- details of all 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 recommendation on pay where that is relevant (*NB – pay recommendations need to be made by 31 December for Headteachers and by 31 October for other teachers*);

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

## 10. Decisions on pay progression

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Where all of the performance pay progression criteria set out above are met, the teacher will move up to the next Performance Pay Progression Stage within the **Main Pay Range / Unqualified Pay Range** as appropriate.

Progression through the **Upper Pay Scale** will be based on three consecutive successful annual assessments of the overall performance of the teacher, and clear evidence of working at a highly competent and substantial level. It is important that teacher's on the Upper Pay Range are provided with a comprehensive explanation of what they are expected to achieve in order to be deemed to have had a successful annual appraisal. See St Margaret's Academy Career Stage Expectations Document for examples.

The Governing Body in exceptional circumstances, may consider accelerated progression through the relevant pay scale to recognise an outstanding impact and wider contribution within the Academy.

Judgements will be properly rooted in evidence. As a teacher moves up the pay range, this evidence should show:

- an increasing positive impact on pupil progress
- an increasing impact on wider outcomes for pupils
- improvements in specific elements of practice identified to the teacher, eg behaviour management or lesson planning
- an increasing contribution to the work of the Academy
- an increasing impact on the effectiveness of staff and colleagues

Further information, is contained in the Academy's pay policy.

The Headteacher will advise the Board of Trustees Pay Committee of the Appraisal Outcomes and provide suitable information to attribute performance to pay. The Pay Committee should be satisfied that it has received sufficient information in order make and justify any decisions on pay.

### **Decision not to progress**

Where the performance pay progression criteria are **not** met, the teacher will not receive any performance pay progression. A decision not to award performance pay progression may be made without recourse to capability procedures. However, teachers who fail to meet the minimum teaching standards and/or who consistently fail to improve their practice or to sustain the expected level of performance for their pay level, may be subject to these procedures.

Where a decision not to progress is made, the teacher will be supported through their performance reviews management process to improve their performance.

## **11. General Principles underlying this Policy**

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### **Definitions**

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

### **Confidentiality**

The appraisal and capability processes will be treated with confidentiality. However, the desire for confidentiality does not override the need for the Headteacher and Trust Board / Local Governing Body to quality-assure the operation and effectiveness of the appraisal system. The Headteacher or appropriate colleague might, for example, review all teachers’ objectives and written appraisal records personally, in order to check consistency of approach and expectation between different appraisers. The Headteacher might also wish to be aware of any pay recommendations that have been made.

### **Consistency of Treatment and Fairness**

The Academy is committed to ensuring consistency of treatment and fairness. It will abide by all relevant equality legislation, including the duty to make reasonable adjustments for disabled teachers. The Academy is aware of the guidance on the Equality Act issued by the Department for Education.

### **Grievances**

Where a member of staff raises a grievance during the appraisal or capability process, the appraisal or capability process may be temporarily suspended in order 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.

## **Sickness**

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 Academy's Managing Attendance Policy and will normally be referred immediately to the occupational health 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. In some cases, it may be appropriate for monitoring and/or formal procedures to continue during a period of sickness absence.

## **Monitoring and Evaluation**

The Board of Trustees and Headteacher will monitor the operation and effectiveness of the Academy's appraisal arrangements.

## **Retention**

The Board of Trustees and Headteacher will ensure that all written appraisal records are retained in a secure place for six years and then destroyed.

# 12. ANNEX 1 - CLASSROOM OBSERVATION PROTOCOL

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## **For appraisal purposes**

The Academy is committed to ensuring that classroom observation is developmental and supportive and that those who are 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.

The arrangements for classroom observation will be included in the appraisal 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 is likely to take place; and who is likely to conduct the observation.

Where evidence emerges about the appraisee's performance which gives rise to concern during the cycle, additional observations may be arranged in addition to those recorded at the beginning of the cycle.

In keeping with the commitment to supportive and developmental classroom observation those being observed will be notified in advance. In this Academy a minimum of 3 weeks notice will be given of a formal classroom observation. Informal developmental classroom visits such as peer to peer collaboration and support e.g. for behavior can take place with shorter notice.

Classroom observations will only be undertaken by persons with QTS, who have had adequate preparation and the appropriate professional skills to undertake observation and to provide constructive oral and written feedback and support.

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. Written feedback will normally be provided within five working days of the observation taking place.

If issues emerge 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 appropriate action taken.

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.

### **For ongoing monitoring purposes**

A Headteacher has a duty to evaluate the standards of teaching and learning and to ensure that proper standards of professional performance are established and maintained throughout the Academy.

While information gathered during the appraisal process may be used, as appropriate, for a variety of purposes including informing Academy self-evaluation and Academy improvement strategies, the Headteacher may determine that it is necessary to collect such evidence as their professional judgement dictates and this may include additional lesson observations.

Monitoring may take a form that is not accurately described as a lesson observation, which is usually of teaching and learning. Instead, for example, it may have a focus on the standards attained by the children, the impact of programmes of study on learning or on pupil behaviour. The monitoring might, for example, involve: work scrutiny; analysis of assessment results; or an examination of lesson planning records. It may also be “light touch” and relatively informal.

Other forms of additional monitoring may include learning walks or drop in visits to classes.

Wherever possible notice will be given of additional observations but depending on the particular circumstances, it may not be practicable to provide employees with specific advance notice of monitoring activities that are carried out for purposes other than appraisal.

The number and duration of lesson observations and other monitoring activities will be for the Headteacher to determine as appropriate



## 13. Policy Feedback

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Should you have any comments regarding this policy, please address them to the HR Policy mailbox –

[HRpolicy@torbay.gov.uk](mailto:HRpolicy@torbay.gov.uk)

### History of Policy Changes

Date	Page	Details of Change	Agreed by:
Sep 2017	All	Re-formatting and general update	
October 2020	4,5	New section to cover general principles of using this policy during the Coronavirus Pandemic	
October 2021	4,5	General update to use of policy in relation to COVID19	