



**London Borough of Camden**

**MODEL TEACHERS APPRAISAL  
PROCEDURE FOR SCHOOLS**

Final Version v.1

Christ Church Primary School, Hampstead  
November 2016

## Contents

## Page

1. Purpose.....	3
2. Application of the Procedure.....	3
3. Teacher Appraisal .....	3
4. The Appraisal Period.....	3
5. Appointing Appraisers .....	3
6. Setting Objectives .....	4
7. Reviewing Performance .....	5
8. Area(s) For Improvement .....	6
9. Transition to Capability .....	8
10. Annual Assessment.....	8
11. Confidentiality.....	8
12. Equality and Consistency .....	9
13. Retention of Statements.....	9
14. Pay Recommendations .....	9
15. Appraisal Review Process.....	9
16. Stage 1: Appraiser Review .....	10
17. Stage 2: Independent Review.....	11
18. Policy Ownership and Effective Dates .....	12

The Governing Body of Christ Church School, Hampstead, adopted this policy on 1<sup>st</sup> December 2016.

## **Procedure for Appraising Teacher Performance**

### **1. Purpose**

- 1.1 This procedure sets out the framework for a clear, fair and consistent assessment of the overall performance of teachers, including the head teacher. It is designed to help and encourage and support their development within the context of the school's plan for improving educational provision and performance, and the standards expected.

### **2. Application of the Procedure**

- 2.1 This procedure covers appraisal and applies to all permanent and fixed-term employees (contracts of over one term) including the head teacher. It does not include those on contracts of less than one term or undergoing induction (i.e. NQTs).

### **3. Teacher Appraisal**

- 3.1 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.

### **4. The Appraisal Period**

- 4.1 The appraisal period will run for twelve months from September to August.
- 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 procedure. The length of the period will be determined by the duration of their contract.

### **5. Appointing Appraisers**

- 5.1 The head teacher will be appraised by the appointed governors of the Governing Body, supported by a suitably skilled and/or experienced external adviser who has been appointed by the Governing Body for that purpose.
- 5.2 The task of appraising the head teacher, including the setting of objectives, will be delegated to a sub-group consisting of two or three members of the Governing Body.
- 5.3 The headteacher will decide who will appraise other teachers. Appraisers should receive an appropriate level of training in the appraisal process and will usually be the appraisee's line

manager or be on a more senior level of management than the appraisee within the school structure. The appraisee has the right to request an alternative appraiser, subject to submitting a reasonable case. The headteacher should give due consideration to such requests, but having given such consideration, the headteacher's decision is final.

5.4 If an area of improvement has been highlighted by the appraiser, this part of the process only will be dealt with by a **member of staff that holds a minimum of TLR1**.

## 6. Setting Objectives

6.1 The head teacher's objectives will be set by the Governing Body after consultation with the external adviser. Objectives will be focused on key school priorities and take account of relevant headteacher standards\*.

\*Excellence for headteachers: non statutory guidance for head teachers and governing bodies was issued by the Department for Education in January 2015.

6.2 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 S.M.A.R.T: Specific, Measurable, Achievable, Realistic and Time-bound and will be appropriate to the teacher's role and level of experience. All teachers should have an up to date and relevant job description, linked to the new teaching standards (published July 2011).

6.3 The objectives set will be drawn from the teachers standards as well as from the school's improvement priorities and local standards and if achieved will ultimately contribute to improving the education of pupils at that school. This will be ensured by referencing all individual objectives to the school's improvement plan. This link will be made:

- By ensuring that the pupil progress objective (all teachers) addresses the key attainment priority identified by the school improvement plan
- By ensuring that the professional development objective (all teachers) addresses the key development priority identified by the annual audit against teacher standards
- By ensuring that the leadership and management objective (all teachers with paid leadership responsibilities) addresses the key development priority identified by consideration of the leader's effectiveness - with reference to any relevant leadership standards - in addressing key school improvement plan priorities. Where no national standards currently exist (e.g. for Assistant and Deputy Heads), the headteacher will develop appropriate standards for these roles by reference to the draft national standards produced by National Standards for School Leaders.

6.4 The appraiser and appraisee will discuss the objectives and the appraiser will then confirm these objectives. Objectives may be revised if circumstances change under normal circumstances teachers will have a **maximum of 3 objectives**.

6.5 The appraiser and teacher will seek to agree the objectives but, if that is not possible, the appraiser will determine the objectives, and the teacher may record their comments in writing as an appendix to the appraisal statement.

6.6 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. All teachers will be assessed against the set of standards contained in the document called "Teachers' Standards" published in July 2011. Assessments will also be conducted (if appropriate) against

- National Standards for School Leaders

6.7 The head teacher will be responsible for ensuring that the appraisal process operates consistently and that objectives are focused on school priorities. All objectives will be referred to the head teacher prior to the commencement of the cycle of monitoring. Where the head teacher has concerns about the relevance of the objectives set, these concerns will be discussed with the appraiser. The objectives may require amendment following discussion with the teacher.

6.8 Before, or as soon as practicable after, the start of each appraisal period, each teacher will be informed of the objectives against which that teacher's performance in that appraisal period will be assessed. These objectives will then be reviewed and addressed on a regular basis throughout the year. There will be at least one interim meeting during the course of the year.

## 7. Reviewing Performance

### 7.1 Observation

7.1.1 This school 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.

7.1.2 The purpose of observations is to support staff with developing their objectives as a teacher and to inform quality assurance processes. For example, the time, date, lesson to be observed and particular focus area (if applicable) will be communicated to the appraisee at **least 2 day** (s) before the observation. It is for the school to determine this. Following the observation, teachers will be given clear feedback as to what went well and what they could improve in the classroom. This will be accompanied by support if required. Appraisers may/may not give an overall grade for the lesson following the observation; should they do so, the **current Ofsted grade criteria will be used**.

7.1.3 In this school, 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. Where there are no concerns raised, it would normally be expected that there would be a maximum of **3 formal observations** to inform the appraisal

process during the school year. This would be carried out by those with qualified teacher status (QTS).

7.1.4 Teachers (including the head teacher) who have responsibilities outside the classroom could also expect to have their performance of those responsibilities observed and assessed.

## 7.2 Other Evidence

7.2.1 Other evidence that may be used to assess performance can include the following below:

- Self-assessment
- Peer review
- Tracking pupil progress; and
- Lesson observations

This list is not exhaustive.

## 7.3 Development and support

7.3.1 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 personal responsibility for improving their teaching through appropriate professional development. Appraisers will support professional development linked to school improvement priorities and to the on-going professional development needs and priorities of individual teachers as detailed in the section on “setting objectives” above.

7.3.2 In addition, there may be developmental observations or “drop ins” from head teachers or other appropriate persons, to support continuing professional development and to promote high standards of teaching and learning. The length and frequency of these observations will vary dependent on specific circumstances.

## 7.4 Feedback

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 include discussion with the teacher; will highlight particular areas of strength as well as any areas that need attention and how this development may be supported.

## 8. Area(s) For Improvement

8.1 If an area(s) of improvement has been highlighted by the appraiser, **this part of the process only will be dealt with by a member of staff that holds a minimum of TLR1.**

8.2 Where an area related to a teachers objectives is highlighted as: needing attention, shows little improvement or, no improvement over several observations, **normally 3 or more but no less than 2**, the appraiser (see above) will raise this as an 'area of improvement' with the teacher and arrange a meeting to discuss the following:

- 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 further support (e.g. coaching, mentoring, structured observations, training), that will be provided to help address those specific concerns;
- make clear how, and by when, the appraiser will review progress. The timescale set for review should be proportionate to the level /seriousness of the area needing attention and be between six to eight working weeks<sup>1</sup>. It is for the school to determine the set period.
- explain the implications and process if no – or insufficient – improvement is made and if sufficient improvement is made, that the appraisal process will continue as normal with any remaining issues continuing to be addressed through that process.

8.3 At the meeting the appraiser will provide the teacher with a written summary of:

- the nature of the concerns
- the support to be provided
- the targets the teacher must achieve
- the review date; and
- the implications for the teacher unless sufficient improvement is made

8.4 The appraiser may also highlight to the teacher, the additional support channels available to them, such as the teachers network, trade unions etc.

*Please note failure to meet the required standard may lead to formal action being taken under the capability procedure.*

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<sup>1</sup> Consideration may be given to escalate to the capability procedure if it is apparent that after four weeks (at a minimum) there has been little or no improvement in performance towards the required standards and it appears unlikely that the employee will reach the required standards by the end of the review period.

## 9. Transition to Capability

9.1 If the appraiser is not satisfied with progress over the agreed timescale following a further observation, the teacher will be notified in writing that the appraisal system will no longer apply and that their performance will be managed under the schools capability procedure, and will be invited to a formal capability hearing. Please review the capability procedure for next steps.

## 10. Annual Assessment

10.1 Each teacher's performance will be formally assessed in respect of each appraisal period. In assessing the performance of the head teacher, the Governing Body will consult the external adviser.

10.2 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 in at least one interim meeting during the course of the year.**

10.3 The teacher will receive an annual assessment, 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 **no later than 31 October and 31 December for the head teacher.** 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 further action that should be taken to address them
- recommendation on pay where that is relevant
- A decision, based upon their assessment as to whether the teacher's performance has 'Met Standards' or 'Not Met Standards.'

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

10.5 Any recommendations on pay will be referred to the headteacher before being referred on to the Governing Body.

## 11. Confidentiality

11.1 Access to the written appraisal report will normally be limited to the appraisee, the appraiser, the headteacher and/or nominated member of the leadership team.



## 12. Equality and Consistency

- 12.1 As outlined in **section 10**, the headteacher will have overall responsibility for the quality assurance of the appraisal process across the school. This will include ensuring the consistency and equality of application of the process throughout the school. The headteacher may delegate responsibility for monitoring consistency and equality of application to a member of the leadership team.
- 12.2 The headteacher will be responsible for reporting annually to the governing body on any relevant issues, including those of underperformance, arising from the annual review cycle and on any action required to address those issues. The report will enable governors to receive an overall general report of the process and outcomes, but will not include specific details relating to individual members of staff.
- 12.3 The Governing Body is committed to ensuring consistency of treatment and fairness and will abide by all relevant equality legislation.

## 13. Retention of Statements

- 13.1 The Governing Body and headteacher will ensure that all written appraisal records are retained in a secure place for six years and then destroyed.

## 14. Pay Recommendations

- 14.1 Pay progression is linked to performance for all pay progression from **September 2013** onwards. The appraiser and Headteacher must consider annually whether or not to increase the salary of teachers who have completed a year of employment since the previous annual pay determination and, if so, to what salary within the relevant pay ranges set out in the Schools Pay Policy. Judgements will be properly rooted in evidence provided as part of the Appraisal Review.
- 14.2 Decisions regarding pay progression will be made by the pay committee, as set out in the schools pay policy, with reference to the teachers' appraisal reports and the pay recommendations they contain. In the case of NQTs, whose appraisal arrangements are different, pay decisions will be made by means of the statutory induction process.

## 15. Appraisal Review Process

- 15.1 Decisions relating to appraisal assessments are taken by the Leadership team of the school and steps are built into these appraisal procedures to ensure these decisions are taken as objectively and consistently as possible. This includes setting individual objectives/targets for performance, holding one-to-one meetings and ensuring the appraisal assessment is interpreted and applied consistently through moderation and consistency checking processes.

15.2 Where a teacher has questions about the appraisal assessment or requires clarity on the basis for the decision, they should raise this with the appraiser as soon as possible after receiving confirmation of the appraisal outcome.

15.3 There may be occasions where the teacher does not agree with their end of year appraisal outcome. This document sets out the process to be followed in these circumstances.

15.4 The appraisal review process has two stages:

- **Stage 1: Appraiser Review** - a meeting between the appraiser and teacher to discuss the teacher's concerns in relation to the appraisal outcome and any aspects of performance that they believe were not fully considered when arriving at the decision.
- **Stage 2: Independent Review** - a review of the appraisal outcome and information supporting the decision and information provided by the teacher on the appraisal review request form. This will be carried out by a member of the leadership team <sup>2</sup> not involved in the original assessment decision.

15.5 The appraisal review must be completed before a teacher can request an independent review and the aim is to resolve the teacher's concerns informally, where possible. However, where the teacher is not satisfied with the outcome of the informal review they may request an independent review.

## 16. Stage 1: Appraiser Review

16.1 Where a teacher does not agree with the appraisal outcome, they should request a meeting with their appraiser to discuss their concerns. Where the teacher is not able to attend a meeting, they should request a telephone discussion. The teacher must request this within **5 working days** of receiving confirmation of the appraisal assessment. If the teacher has information that they believe has not been considered in the appraisal assessment, they should bring this to the meeting.

16.2 The meeting or discussion is an opportunity for the teacher to outline aspects of their performance which they believe have not been fully considered, to provide supporting information where appropriate and for the appraiser to consider any additional information provided by the teacher that they were not previously able to provide.

16.3 The meeting will not include representatives from a trade union or self-organised group or a workplace colleague.

16.4 After the meeting/discussion the appraiser can either:

- confirm the original decision; or

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<sup>2</sup> Where the Headteacher requests a review this will be heard by the Chair of Governors. Where a member of the leadership team appraised by the Headteacher requests a review this will be heard by a governor nominated by the Chair of Governors.

- change the decision (after discussion with the reviewing manager and headteacher or delegated authority).

16.5 If the appraiser decides that the decision should change, this must be discussed with a manager appointed by the headteacher to review the outcome of the appraiser review and with the headteacher or delegated authority prior to the decision being communicated to the teacher. The appraiser should advise the teacher of the outcome of the stage 1 review within **10 working days** from the date of the review meeting.

16.6 The appraiser must record the outcomes of the review discussion with the teacher using the review summary.

16.7 If there is any change to the decision the appraiser will need to record this on the appropriate system.

## **17. Stage 2: Independent Review**

17.1 Following notification of the outcome of the stage 1 review, the employee may request an independent review if they are not satisfied with the outcome.

17.2 The purpose of the independent review is to consider the information provided by the teacher in the appraisal review request form, accompanying documentation and review summary, to assess whether the decision given by the reviewing manager should remain unchanged or whether this should change to what is requested by the teacher.

17.3 A teacher cannot request a review in relation to:

- the pay decision associated with the appraisal assessment outcome;
- a colleague who received a different appraisal assessment outcome.

17.4 Requests for an appraisal review based on concerns in relation to responsibilities, objectives/targets and behavioural expectations will not normally be accepted as it is expected that teachers should raise these with the reviewing manager early in the performance year.

17.5 The request must be submitted on the appraisal review request form within **5 working days** of receiving notification of the outcome of the stage 1 review. The completed form should be e-mailed to the headteacher who will where possible, nominate a member of the leadership team outside the teachers line management chain who has had no prior involvement with the issue. The headteacher will confirm the request has been received and may decide not to consider incomplete or late submissions and the decision on this matter will be final.

17.6 The member of the leadership team carrying out the review will determine the most appropriate approach for obtaining any further information that may be required from the teacher and/or appraiser to support the review. This may be through meetings, telephone

discussions and/or in writing. The reviewer will make a decision on whether a meeting is necessary.

17.7 If an employee is asked to attend a meeting this will not include representatives from a trade union or self-organised group or workplace colleague.

17.8 Information considered as part of the review will include the teacher's objectives/targets and the job description for the role, information used by the appraiser to support the decision and information provided by the employee in the appraisal review request form.

17.9 The aim will be to complete an independent review within **20 working days** from when an appraisal review request is received and approved.

17.10 After the review the reviewer can either:

- confirm the original outcome; or
- change the outcome.

There may also be recommendations made.

17.11 The decision and any recommendations should be considered by the head teacher or delegated authority to ensure that the correct process has been followed and to ensure fairness and consistency of treatment.

17.12 The Head teacher or delegated authority will notify the employee of the outcome of the independent review within **5 working days** of the decision, and any change to the outcome will be recorded appropriate system.

17.13 This decision is final and there is no further right to challenge this decision through a grievance procedure.

## 18. Policy Ownership and Effective Dates

This is Christ Church School, Hampstead, Appraisal Procedure as at **1 September 2016 onwards**. This procedure will be reviewed on an annual basis and changes made in line with legislative changes and changes to the School Teachers Pay & Terms and Conditions Document. As a consequence the procedure may need to change in the future. If changes are required, consultation with the recognised trade unions will take place and employees will be notified. If the local authority needs to do something different, it will always be fair and reasonable.

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