



Nottinghamshire School Appraisal Policy For Teachers

September 2025

Name of school:	Asquith Primary School
Policy adopted on:	08/10/2025
Date of next review:	Autumn Term 2026
Governing body committee that will review and monitor the impact of the code and content annually with the headteacher	F&P Committee, PSC committee or Full Governing Body
Locations this policy can be accessed	Staff server, National College and KS1 office

HR Advice, Support and Training Service

This section to be completed by the Governing Body - The Governing Body should consider the school policy updates (shown in red text throughout the red type version of the document) and record decisions on the following paragraphs in this section before formally adopting the policy.

Governing Body - Policy Decision Planner	
para	Decision
5.2	Decision – Staff covered by Appraisal Policy
5.2	The policy applies to all teachers
6.1	Decision - Appraisal period
	The appraisal period will run for twelve months from 1 October to 30 th September
8.4	Decision – Appraisal arrangements for all other teachers
	The headteacher will decide who will appraise other teachers. In this school, the head teacher and the governing body has agreed that: Option 2 – The headteacher will appraise those teachers they directly line manage and will delegate the role of appraiser, in its entirety, including a recommendation on progress towards meeting appraisal objectives and, where relevant, pay, to their line managers for some or all other teachers. School to minute decision (See Appraisal Guidance and Toolkit 8.4)
9.2	Decision – Quality Assurance – Headteacher Appraisal Statement
	Quality assurance: Headteacher Appraisal Statement: The Governing Body has determined that Quality Assurance of the Headteacher Appraisal statement will be undertaken by: Option 2 - by (1-3 members of the Governing Body) School to minute decision (See Appraisal Guidance and Toolkit 9.2)
9.3	Decision – Quality Assurance – All Other Teachers Appraisal Statement
	Quality assurance: Other Teacher Appraisal Statement - The Governing Body has determined that where appraisal is delegated to line managers for some or all teachers: Option 1 - the headteacher will moderate <u>all</u> School to minute decision (See Appraisal Guidance and Toolkit 9.3 for options 1 and 2)
11.1	Decision – Number of Appraisal Objectives
	All teachers including the headteacher will normally have a maximum of 3 objectives, but may be varied by individual agreement. Objectives will focus on the key priorities for the teacher / headteacher within the cycle and the appraisal process will be supportive and developmental. (See Appraisal Guidance and Toolkit 11.1- 11.8).
18.2	Decision – The Appraisal Policy review
	The headteacher will produce a brief report for the governing body on the operation of the appraisal policy in preparation for a review with the governing body at a governors meeting in the Autumn Term

Date: September 2025

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1. Introduction

- 1.1 Appraisal arrangements came into force with effect from 1 September 2012. They are set out in the Education (School Teachers' Appraisal) (England) Regulations 2012 (the Appraisal Regulations). Maintained schools and local authorities must have an appraisal policy for teachers (and centrally employed unattached teachers) and a capability policy covering all staff. The Governing Body should refer to the Appraisal Policy Guidance and Toolkit 2025 and tailor the attached policy to their own school where highlighted in **blue and bold**. **The statutory requirements of the Appraisal Regulations 2012 are shown in bold type.**
- 1.2 The policy and guidance documents, originally produced in 2012 were updated in 2024 in collaboration with a working group of headteachers from Nottinghamshire Schools and representatives from the recognized trade unions. The revision to the policy takes into account changes to the School Teachers Pay and Conditions Document (STPCD) 2024 which removed the requirement for all teacher pay progression to be linked to the appraisal process effective from 1 September 2024. However, the STPCD and the Appraisal Regulations continue to require individual teacher appraisal reports to make a recommendation on teachers' pay at the end of the appraisal cycle. The governing body should satisfy itself that the process of objective setting is rigorous for all teachers and the headteacher.
 - The school will manage the appraisal process to avoid increased workloads by reviewing the number and frequency of meetings, and ensuring the process for collecting evidence is always proportionate and readily available from day to day practice. Reducing unnecessary workload is at the forefront of all considerations with regard to implementing appraisal. It should therefore be a non bureaucratic process, consistent with the current Ofsted Framework (see Policy paragraph 23 and Guidance) – Please note that Ofsted are due to publish the revised framework in September 2025 and inspections will not commence until at least November 2025 ; DfE Teacher Appraisal Guidance July 2024 and the DfE Guidance and Toolkit on Reducing Teacher Workload.
- 1.3 The Policy recognizes, encourages and validates a teacher's commitment to professional development, pedagogical excellence and effective performance. Whilst it is a matter for individual school governing bodies to adopt an appraisal policy which meets their individual school requirements, all schools are strongly advised to adopt the Nottinghamshire School Appraisal Policy and Guidance and Toolkit 2025 documents which should be considered together. The term "school" throughout this document is used to include academy, foundation, trust voluntary aided, voluntary controlled schools and all other forms of school governance arrangements in Nottinghamshire schools.
- 1.4 Maintained schools and local authorities (for unattached teachers) must operate within the legal framework of the minimum framework of the Appraisal Regulations 2012 and the advice produced by the DfE. Regulation 7 (6) (a) requires the teacher's performance to be assessed against: the appropriate standards; the teacher's objectives, an assessment of the teacher's professional development needs and identify any action; and, where relevant, make a recommendation on the teacher's pay. In light of changes to the School Teacher's pay and Conditions Document effective from 1 September 2024, (STPCD) pay progression will not be awarded to teachers where within the school year, serious performance concerns are identified,

and the teacher is in receipt of focussed support within appraisal or are subject to the formal capability procedure.

- 1.5 The Appraisal Regulations must apply to teachers employed for one term or more but do not apply to any teacher undergoing an (ECT) induction period or are subject to the schools Disciplinary (Capability) Procedure (Revised 2024) . It is good practice for academies to follow the appraisal regulations although they are not legally required to do so.
- 1.6 The Nottinghamshire Schools Appraisal Policy has incorporated the minimum national framework document produced by the DfE and is supported by the HR Service Appraisal Guidance and Toolkit document, incorporating advice on good practice which should be read in conjunction with the policy. The policy therefore sets out an evidence based approach and aims to minimize the impact on workload for individual teachers, appraisers and headteachers, so that evidence used, is proportionate to support robust and fair appraisal decisions, readily available from day to day practice in the school.
- 1.7 Schools and local authorities must ensure that all teachers are treated fairly, including those with different working patterns, carefully consider staff wellbeing and the wider legal framework set out in the Appraisal Regulations and in other relevant legislation that affects all employers (for example legislation on equality, employment protection and data protection). The Governing Body and school leaders are aware of their duty of care to protect the health, safety and welfare of all staff under the Health and Safety at work act 1974.
- 1.8 This appraisal policy applies only to all teachers, including headteachers, as there is no national regulation covering support staff in schools. However, the governing body recognises that effective appraisal processes and professional development (See Guidance and Toolkit Document Paragraph 1.8) are key to supporting the career progression for all staff. Therefore, the school will seek to include all support staff in an appraisal process, which complements the statutory scheme for teachers relevant to their role. Performance is not linked to pay progression unless a teacher or member of the support staff is subject to focused support within appraisal or the formal disciplinary (capability) procedure. The procedures adopted should involve full consultation with staff and the trade unions, representing teaching (and where appropriate) support staff in schools. It is expected that schools will inform and consult with support staff about the appraisal policy pertinent to them.
- 1.9 The appraisal process will be intrinsically supportive and developmental, conducted within a school culture that values openness and fairness where individual teachers and their line managers can have open and honest conversations about successes and areas for improvement. It will also address the support that will be provided to enable all teachers (and where appropriate support staff) to progress professionally, achieve their objectives and continue to meet the requirements of their job, the Teachers Standards 2012 - updated Dec 2021¹ and the Headteachers' standards 2020 (see Guidance document 1.9)

• ¹ Please note in paragraph 1.1 above, in September 2013, the DfE issued a set of [Teachers' Standards \(Early Years\) September 2013](#). These standards apply only to teachers who work in Early Years settings working with 2 years olds. Teachers working in FS1 or FS2 should be working to the Teachers' Standards 2012.

- 1.10 Where there are concerns about aspects of the teacher's work performance, at any point throughout the appraisal process, teachers should receive focused support within appraisal. In most cases this should be separate and come before any capability procedures are considered. This might include mentoring, training, or resources to address specific identified needs. Alongside in-school support, where performance concerns are identified, even from the early stages, teachers should be encouraged to seek support and advice from their own trade union. Teachers and headteachers should normally only enter capability procedures when there is unsatisfactory progress made with their work performance that the appraisal process, including focussed support arrangements have been unable to address. (See Guidance and Toolkit section 20-22 on transition to capability procedures).
- 1.11 The governing body understands the importance of a rigorous and fair appraisal policy. The current is a useful reference document when considering the intended impact of the Appraisal Policy on the professional development of staff and the standard of education at the school.
- 1.12 The application of this policy should be considered alongside the Appraisal Policy Guidance and Toolkit 2025.
- 1.13 The school has a separate Disciplinary (Capability) Procedure – The Performance of School staff (Updated September 2024). This procedure applies to all teachers and support staff about whose performance there are serious concerns, that the appraisal process, (support and supervision process for support staff) designed to be developmental and supportive, has been unable to address.
- 1.14 The setting of an appraisal period, appointing appraisers, setting objectives and an annual assessment are **statutory** requirements. The appraisal policy is recommended for adoption by all community, voluntary aided, voluntary controlled, academy, foundation and trust schools and has been agreed by the following Nottinghamshire recognised trade unions; NASUWT; NEU, ASCL, and NAHT. Unison and GMB have been included in the consultation and invited to comment in respect of their members.
- 1.15 Due to the complexities of this area of employment and education law, maintained school governing bodies are strongly advised to adopt the attached policy without amendment. Should, exceptionally, a governing body seek to amend the recommended policy, they will need to consult/negotiate any changes collectively with all the secretaries of the recognised trade unions and confirm any amendments to the local authority. Governing Bodies are strongly recommended to seek advice from the HR Service in these circumstances.
- 1.16 The Governing Body should:
- a) refer to the Appraisal Policy Guidance and Toolkit 2025 document,
 - b) complete the Governing Body Decision Planner on the inside cover of this policy and
 - c) tailor the attached policy to their own school where highlighted **blue and bold**.

The statutory requirements of the Appraisal Regulations 2012 are shown in bold type.

The changes to the previous version of the documents are shown in plain red text in each of the documents.

1.17 The School Appraisal Policy will be reviewed annually.

2. Advice, Support and Training

2.1 It is the responsibility of the headteacher to ensure that all relevant senior leaders and governors understand their role and have access to appropriate support, advice and training in the application of these procedures. All staff should be aware of their responsibilities to make this an effective and supportive professional developmental process.

3. Purpose

3.1 This policy sets out the framework for a clear and consistent assessment of:

- **the overall performance of teachers, including the headteacher, and**
- **for supporting the development of teachers within the context of the school's plan for improving educational provision and performance, and the standards expected of all teachers.**

3.2 The appraisal policy will also be used to address any concerns about a teacher's performance at the earliest possible opportunity. If concerns are such that they cannot be resolved through a focused support plan within appraisal, consideration will be given to the commencement of the capability procedure. This policy therefore sets out the arrangements within the appraisal process that will apply when teachers fall below the levels of professional competence expected of them.

3.3 Where relevant, under the current version of the STPCD and the Appraisal Regulations, the appraisal report will make a recommendation on a teacher's pay at the end of the appraisal cycle.

4. Equalities and Equal Opportunities

4.1 The governing body recognises its legal responsibilities to staff under the Equality Act 2010 and in applying this policy will avoid discrimination against employees on the grounds of their protected characteristics. This policy will ensure equality and fairness regardless of race, sex, sexual orientation, religion or belief, gender re-assignment, pregnancy and maternity, marriage and civil partnership, disability, age or trade union membership. All appraisal decisions will be taken in accordance with relevant equalities legislation, the Employment Relations Act 1999, the Part-Time Workers (Prevention of Less Favourable Treatment) Regulations 2000 and the Fixed Term Employees (Prevention of Less Favourable Treatment) Regulations 2002. In doing so and in accordance with the delegated responsibility summarised in the school decision planner/scheme of delegation, the appropriate committee of the governing body will ensure that appraisal processes and decisions, linked to pay are robust, transparent and fair.

4.2 In meeting its equalities obligations the school will pay particular attention to quality assuring appraisal statements, setting objectives and by treating all employees fairly in accordance with the Equality Act 2010. Appraisers should assess whether there are implications for people with particular protected characteristics. In particular, equity will be considered in relation to :

- Objective setting: to ensure that the weighting of objectives agreed during appraisal will be non- discriminatory and particular attention should be given to whether employees may face barriers to the achievement of objectives that relate to a protected characteristic.
- Moderation – this will also have implications for the moderation of appraisal arrangements to ensure that unlawful discrimination is avoided.

5. Application of the Policy

- 5.1 **This policy, covers appraisal, and applies to the headteacher and to all teachers employed by the school or local authority, except those on contracts of less than one term, those undergoing induction (ie ECT's) and those for whom the appraisal process has been suspended as they are subject to the schools Disciplinary (Capability) Procedure.** The capability procedure applies to teachers (including the headteacher) and support staff about whose performance there are serious concerns that the appraisal process has been unable to address.
- 5.2 The staff to whom the policy applies is set out in the Governing Body – Policy Decision Planner at the front of this policy.
- 5.3 Appraisal in this school will be a supportive and developmental process designed to ensure that all teachers have, or fully develop, the skills with access to appropriate support they need to carry out their role effectively. It will contribute to staff well being and help ensure that teachers are able to continue to improve their professional practice and to develop as teachers.

6. The Appraisal Period

- 6.1 The appraisal period is set out in the Governing Body – Policy Decision Planner at the front of the policy.
- 6.2 Teachers who are employed on a fixed term contract of less than one year but of one term or more 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 and an individual teacher's objectives should take account of the length of the contract.**
- 6.3 There is flexibility to have a longer or shorter appraisal period when teachers begin or end employment with a school. Where a teacher ceases employment other than at the end of the appraisal period, the appraisal period ends on the last day of employment. Where a teacher starts their employment at the school part way through an appraisal cycle, the headteacher or, in the case where the employee is the headteacher, the governing body, shall determine the length of the first appraisal cycle for that teacher with a view to bringing their cycle into line with the cycle for all other teachers as soon as possible.
- 6.4 Where a teacher transfers to a new post within the school part way through a cycle, the headteacher or, in the case of the headteacher, the governing body shall determine whether the cycle should begin again and whether the appraiser should change.

7. Impact of Absence During the Appraisal Cycle

- 7.1 Where absences occur during the appraisal cycle, headteachers (for teachers) and the Chair of Governors (in respect of the headteacher) will manage the situation supportively and sensitively and where necessary seek advice from the HR Service.
- 7.2 If the headteacher is absent for a prolonged period, the governing body will ensure that robust arrangements for the management of the appraisal cycle for all staff in the school, including for the acting headteacher, are in place.
- 7.3 Where employees have been absent for long periods e.g. due to maternity leave or disability related sickness absence, appropriate consideration and reasonable adjustments will be made towards meeting the objectives. The governing body / headteacher will take into account the particular circumstances of the case and the exact adjustments will be made on a case-by-case basis. Where other sickness absence occurs during the appraisal cycle, the appraiser, including the headteacher / governing body (where relevant) will assess the extent to which the teacher has demonstrated that the appraisal objectives have been met at the annual appraisal review. *(See Appraisal Guidance 7.1 for additional advice)*

8. Appointing Appraisers and training

- 8.1 The governing body will ensure that all appraisers, other than those appraising the headteacher are qualified teachers (or recognised equivalent). A teacher's appraiser will normally be their line manager where the headteacher delegates this responsibility. The governing body will ensure that all appraisers, including members of the governing body, are suitably trained.

Appraisal Arrangements for the Headteacher

- 8.2 The headteacher will be appraised by the governing body's appointed appraisers (which must exclude any governor who is also a member of staff, relative or any others who may have a potential pecuniary interest), supported by a suitably impartial, skilled, informed and experienced external adviser who has been appointed by the governing body for that purpose. (Note: The Governing Body of a school must appoint an external adviser for the purposes of providing it with support and advice in relation to the appraisal of the headteacher (Regulation 4 7.2) (Note: the policy expects that the external adviser will be procured through the county council em-ed website).
- 8.3 In this school, the task of appraising the headteacher, including the setting of objectives and undertaking in-year reviews, will be delegated to between one to three members of the governing body as set out in the Governor Decision Planner.

Appraisal Arrangements for all Other Teachers

- 8.4 The Appraisal arrangements for all other teachers are set out in the Governing Body – Policy Decision Planner at the front of this policy.

9. Quality Assurance of Appraisal Statements and Professional development

- 9.1 The governing body is committed to ensuring consistency of treatment and fairness in the operation of the Appraisal Policy for all staff. The school operates a system of

moderation to ensure that all appraisers are working to the same standards. Objectives will be moderated across the school to ensure that they are consistent and fair between teachers with similar experience and levels of responsibility. The following provisions have therefore been put in place for moderation, quality assurance and objective setting in the appraisal process:

- 9.2 The Quality assurance: Headteacher Appraisal arrangements are set out in the Governing Body – Policy Decision Planner at the front of this policy. **(See Guidance 9.2)**
- 9.3 The Quality Assurance: All Other Teachers Appraisal arrangements are set out in the Governing Body – Policy Decision Planner at the front of this policy. **(See Guidance 9.3)**

10. Standards and Setting Objectives

- 10.1 The governing body (in respect of the headteacher) and the headteacher (in respect of all other staff) has a duty to have regard to the work/life balance and wellbeing in setting appraisal objectives. Objectives should be aspirational yet achievable, and based on relevant success criteria which are in the control of the teacher.

Headteacher

- 10.2 The governing body of a school must before, or as soon as practicable after the start of, the appraisal period, following consultation with the external adviser and the headteacher:
 - a) **inform the headteacher of the standards against which the headteacher's performance will be assessed; and**
 - b) **set objectives for the headteacher in respect of that period (Regulation 6(1) (2))**

All other teachers

- 10.3 The headteacher must, in respect of every other teacher, before, or as soon as practicable after, the start of the appraisal period:
 - a) **inform the teacher of the standards against which the teacher's performance will be assessed; and**
 - b) **set objectives for the teacher in respect of that period (Regulation 3)**

All teachers

- 10.4 The Appraisal Regulations (7) (6) (a) state that in undertaking appraisal ***“the governing body (for headteacher appraisal) and the headteacher (for all other teachers) must:***
 - a) ***assess the teacher's performance of their role and responsibilities against:***
 - (1) (a) the standards applicable to that teacher contained in the “Teachers’ Standards” July 2011, the Headteachers’ standards 2020; and***
 - (b) any other standards relating to the teachers’ performance published by the Secretary of State as the governing body, the headteacher or local authority determines as being applicable to the performance of that teacher; and, (Regulation 6, 8 (a) and (b))***

(2) the teacher's objectives which must be such that, if they are achieved, they will contribute to (a) improving the education of pupils at that school and (b) the implementation of any plan of the governing body designed to improve that schools' educational provision and performance.
(Regulation 6, 5 (a) and (b))

b) assess the teacher's professional development needs and identify any necessary action that should be taken to address them; and (Regulation 7 (6) (b))

c) where relevant under the Document, include a recommendation relating to the teacher's pay. (Regulation 7 (6) (c))

- 10.5 Appraisal Objectives will be set before, or as soon as practicable after, the start of each appraisal period. The objectives set for each teacher, will be (SMART) Specific, Measurable, Achievable, Realistic and Time-bound, and will be appropriate to the role and level of experience.
- 10.6 Teachers' performance will be assessed against their objectives and the relevant standards. The objectives will clearly set out the level of performance required, linked to the Teachers' Standards and take into account the role and career stage of the teacher, with the expectation that an RQT or early career teacher (ECT) will require access to more support than a teacher approaching the maximum of the MPR or post threshold teacher. In all cases, the appraiser will set out in the appraisal statement what they will take into account when making judgements as to whether the teacher has met their objectives and the relevant standards. The teacher must understand what needs to be achieved in order to meet their objectives by the end of the appraisal cycle. Schools may use the Appraisal Policy Guidance and Toolkit **Appendix 3 – Appraisal Objectives Criteria** as an additional framework for the setting of success criteria linked to appraisal objectives so that there is consistency, and clarity about the level of performance required.
- 10.7 The objectives will be more challenging and have higher expectations of teachers and school leaders as they gain experience, develop professionally and progress in their career. The objectives will have regard to what can reasonably be expected in the context of their role, responsibilities and experience while upholding a satisfactory work/life balance. The appraiser and appraisee will seek to agree the objectives but, if that is not possible, the final decision on the wording of the objectives rests with the appraiser(s) / headteacher or the governors responsible for the headteachers appraisal process. Objectives may be revised if circumstances in the school change, or where, for example, performance concerns emerge and other priorities for the school or individual's professional development are identified.
- 10.8 **The objectives set for each teacher will, if achieved, contribute to:**
a) improving the education of pupils at the school; and
b) the implementation of any plan of the governing body designed to improve the school's educational provision and performance. (Regulation 6 (5) (a) and (b))

This will be ensured by quality assuring all objectives against the school improvement plan, the individual teacher's assessment against the relevant

Teachers' Standards², the Headteachers' standards and class targets taking into account the age, capability and prior attainment of pupils in each teacher's class(es) and national expectations of pupil progress). The agreed objectives, success criteria and professional development requirements will be set out in the appraisal statement at the start of the appraisal cycle. This will also be supported by a description of what success may look like (success criteria – in terms of teacher learning, pupil learning and pupil progress) and identify the support/professional development required.

- 10.9 Before, or as soon as practicable after, the start of each appraisal period, each teacher will be informed of the standards against which their performance in that appraisal period will be assessed. All teachers, including the headteacher, will be assessed against the 'Teachers' Standards' September 2012 and in addition account will be taken of subject leaders standards, for those leading a subject in line with the current version of the STPCD (Section 3 Paragraph 48) (*See Guidance 10.6*) and where applicable the post threshold standards. For headteachers and other senior leaders the governing body will also set objectives taking into account the Headteachers' standards 2020.
- 10.10 For teachers who are qualified teachers by virtue of holding QTS status,(or recognised equivalent) it is for the headteacher to decide which of the teacher standards are most appropriate. Such teachers may be assessed against the Teachers' Standards, any other relevant standards issued by the Secretary of State, or any other professional standards relevant to their performance or any combination of those three.

11. The Objectives

- 11.1 In this school all teachers, including the headteacher will have the number of objectives as set out in the Governing Body – Policy Decision Planner at the front of this Document unless varied by individual agreement. (***See Appraisal Guidance section 11***).
- 11.2 Where teachers work part time, objectives should be set taking into account the proportion of their hours of work (FTE) and their part time status. Where members of staff have returned to work following a period of extended absence, objectives and timescales will be considered and where necessary adjusted as part of the reintegration to work. Account may need to be taken when setting objectives for teachers who have a disability in line with the Equality Act 2010. All teachers in school should have equity of access to the support required in the areas identified for development. For further guidance in relation to absence – please see Guidance section 7.
- 11.3 Appraisal Objectives – All teachers / Headteacher should be based on
- (a) the teachers' standards / headteachers' standards (as appropriate);
 - (b) the needs, priorities and context of the school; and
 - (c) the teachers'/headteachers' professional development requirements.

• ² Please note in paragraph 10.7 above, in September 2013, the DfE issued a set of [Teachers' Standards \(Early Years\) September 2013](#). These standards apply only to teachers who work in Early Years settings working with 2 years olds. Teachers working in FS1 or FS2 should be working to the Teachers' Standards 2012.

Further guidance on examples of suggested wording for objectives please see guidance document section 11).

- 11.4 In setting appraisal objectives for all teachers, including for the headteacher, schools should take account of the DFE Appraisal Guidance which states that objectives and appraisal discussions should not be based on teacher generated data and prediction, or solely on the assessment for a single group of pupils. Numerical targets should not be set if it is beyond the teacher's control to achieve them. This might but does not have to include:
- Improvements in specific elements of practice, such as behaviour management, development of pedagogy or providing feedback
 - Impact on the effectiveness of teachers
 - Wider contribution to the work of the school
- 11.5 Headteacher and appraisal reviewers, should use the appraisal process as an opportunity to ensure that robust child protection procedures and safer working practices are securely in place and understood.
- 11.6 Effective and focussed professional development should form a key component of setting teacher appraisal objectives. This will ensure that teacher knowledge consistently builds over time to deliver high quality teaching enabling teachers to manage teaching and learning effectively to improve pupil outcomes.
- 11.7 Leaders should ensure that effective and meaningful engagement takes place with staff at all levels and that where issues are identified in particular about workload or wellbeing they are managed and staff supported appropriately and effectively.
- 11.8 All teachers are responsible for providing evidence to support progress towards or the meeting of objectives. Evidence used in the appraisal process will be proportionate, directly related to the set objectives and standards and agreed upon when the objectives are set. It should be readily available from day to day practice available through the schools monitoring and evaluation arrangements. The school will ensure that the collection of evidence does not create another tier of workload for teachers or appraisers.

12. Reviewing Performance

Reviewing Progress

- 12.1 Professional dialogue between the headteacher and appraisal governor(s) or appraiser and appraisee will take place throughout the appraisal cycle as appropriate. This will provide an opportunity for feedback and discussion on progress towards the achievement of appraisal objectives and provision of professional development and wellbeing support. In the context of ongoing professional dialogue throughout the appraisal cycle the following meetings should also take place:

Where the teacher is on track to achieve their appraisal objectives, the example plan below allows for a total of two formal reviews. One in the spring and one in the summer/autumn (summer/autumn -review and annual assessment) to check on progress and minimise workload.

- (a) Autumn Term – Annual Review and Objective setting *₁
 - All objectives from previous year reviewed and appraisal cycle completed, including, where appropriate, a recommendation on pay.
 - All objectives for new year, success criteria, evidence and professional development requirements to be agreed and finalised between the appraiser and appraisee.
- (b) Spring Term – Mid Appraisal Cycle Review
 - Appraisal Review Meeting scheduled between appraiser and appraisee to review performance against objectives and standards and review of professional development requirements as set out in the appraisal statement.
- (c) Summer / Autumn Term – Annual Appraisal Review and Set Objectives for new year
 - Appraisal Review Meeting scheduled at the end of the Appraisal cycle which will include completion of final appraisal statement and recommendation on pay, where appropriate.
 - This will include an assessment of progress against the appraisal objectives, success criteria, relevant standards and professional development requirements set at the start of the cycle.
 - Account will be taken of any of any in year adjustments to the objectives resulting from in-year review(s).

*(Note *1: this stage may be completed in the Summer or Autumn term, depending on school appraisal arrangements so that there are only two meetings per year)*

- 12.2 Where there are concerns about progress towards meeting objectives or where there are other concerns about a teachers' performance, additional interim meetings should be arranged throughout the cycle to support the employee and where necessary initiate, discuss and agree a focussed support plan.
- 12.3 A teachers' performance will be assessed against the relevant standards to a level that is consistent with what should reasonably be expected of a teacher / headteacher in the relevant role and at the relevant stage of their career. School leaders and other appraisers (governors supported by an external adviser) should use their professional knowledge when appraising teachers' performance. Teachers are not expected to provide evidence that they meet all of the Teachers' Standards but should be used to inform on areas for professional development.

Evidence, Monitoring and Evaluation and consideration of Focussed support

- 12.4 This school believes that monitoring and evaluation of classroom practice and other responsibilities is an important way of assessing and supporting a teachers' performance by identifying particular strengths and areas for development. All monitoring and evaluation will be carried out to support the individual to achieve the agreed criteria set for achieving each objective. Monitoring and evaluation will be conducted in line with the school's agreed Monitoring and Evaluation, Quality Assurance Policy and where it is separate, the Classroom Observation Policy. Where performance concerns emerge, focused support within appraisal will be provided as soon as possible within the appraisal process before consideration is given to the formal capability procedures. (See Appraisal Guidance and Toolkit 12.2 – 12.4)
- 12.5 Teachers' / headteachers' performance will be supported and evaluated in line with the policy and the Appraisal Regulations 2012 and will take full account of the need

to reduce bureaucracy, reduce teacher workload and support staff wellbeing. The form and frequency of monitoring and evaluation will depend on the individual circumstances of the teacher and the overall needs of the school. Lesson observation within the context of the appraisal process will be carried out by qualified teachers. In addition to lesson observations, headteachers or other leaders with responsibility for teaching standards could use a range of other appropriate monitoring tools in order to evaluate the standards of teaching and to check that high standards of professional performance are established and maintained. This could include the use of learning walks, pupil case studies, work scrutiny, progress tracking data, self assessment, peer reviews and the views of pupils and parents.

The headteacher will ensure that any monitoring and evaluation activity integrates with other management requirements (for example subject reviews) to minimise duplication and additional workload.

- 12.6 Teachers (including the headteacher) who have responsibilities outside the classroom should also expect to have their performance of those responsibilities observed and assessed in line with their job descriptions and appraisal objectives.
- 12.7 With regard to appraisal for all staff, including the headteacher, the governing body, the school leadership team and other appraisers should take the appraisal process as an opportunity to create the right culture and environment so that all staff feel comfortable, where it is appropriate, to discuss matters in work and outside of work, which have implications for the safeguarding of children in the workplace. These discussions can also help line managers to safeguard their employees' welfare and wellbeing and contribute towards the schools' duty of care towards their staff and pupils at the school.

13. Appeals

- 13.1 The appraiser and the teacher (or appraisal governors in conjunction with the headteacher) will seek to agree the objectives but, if that is not possible, the appraiser or appraisal governors will determine the objectives. The appraisee may record their disagreement on the appraisal statement and this will be taken into account at the appraisal review. At specified points in the appraisal process the headteacher and other teachers have a right of appeal against entries in their appraisal statement, relating to the completion of the quality assurance process, if applicable. Where a teacher wishes to appeal on the basis of more than one entry on the appraisal statement this would constitute one appeal hearing. See Guidance and Toolkit Appendix 1.

14. Confidentiality and Retention of Records

- 14.1 The appraisal process and the statements generated within it will be treated with the strictest confidentiality at all times. The governing body will ensure that access to appraisal records is restricted, in line with the Data Protection Act 2018, to enable the line manager to undertake their line management responsibility and that the appropriate arrangements are in place for all appraisal records to be retained securely and confidentially for a minimum period of 6 years.
- 14.2 **The governing body will require the headteacher to provide a brief report on the outcomes of the most recent appraisal of all teachers, to ratify decisions on pay recommendations (*Appraisal Regulation 2012 7(6) (a)*).** Where the application of the capability process is required, an individual teacher's appraisal information

will be made available, but restricted to those staff and named governors as required by the procedures.

15. Professional Development and Support

- 15.1 The governing body recognises the importance of appraisal and that it is a supportive process, which will be used to inform continuing professional development of all teachers to improve and develop their practice in the teaching of the curriculum. The school recognises that the quality of teaching is the single most important in-school factor for improving pupil outcomes.
- 15.2 The governors and leadership of the school will encourage a culture, in which all teachers take responsibility for improving their teaching through appropriate professional development.
- 15.3 Professional development will be linked to appraisal, school improvement priorities and to the ongoing professional development needs and priorities of individual teachers. CPD and other professional development activities will be subject to the Standards for teachers' professional development 2016 and the accompanying implementation guidance issued to all schools by the DfE in July 2016.

16. Feedback and Support

- 16.1 For the purpose of professional development, the appraisee (headteacher and other teachers), will receive constructive developmental feedback on their performance throughout the appraisal period. This will also include feedback, as soon as practicable, after any review meeting, monitoring and evaluation activity has taken place or where other evidence has come to light. Feedback will highlight particular areas of strength, as well as any areas of concern that need attention. Written feedback should normally be provided within 5 working days. Where there are concerns about any aspects of the teacher's / headteacher's performance, the appraiser will meet the headteacher or the teacher formally to address the issues identified (See Focussed Support paragraph 21.1)
- 16.2 When progress is reviewed, if the appraiser is satisfied that the teacher has made, or is making, sufficient evidenced-based improvement, the appraisal process will continue as normal, with any remaining performance issues continuing to be addressed throughout the agreed period of focused support within appraisal as set out in this policy.

17. Annual Assessment

- 17.1 **Each teacher's performance will be formally assessed in respect of each appraisal period. In assessing the performance of the headteacher, the governing body must consult the external adviser.**
- 17.2 This assessment is the end point to the annual appraisal process, but performance and development priorities will be reviewed and addressed between appraiser and appraisee throughout the appraisal period, where required. Where appraisal objectives are on track, and / or there are no performance concerns an interim review meeting will normally take place once in the spring and summer/autumn terms and as part of directed time. In other cases, it may be necessary for more regular interim meetings to take place where additional support is required. (see 12.1)

17.3 **The teacher will receive an appraisal report, as soon as practicable following each review meeting (Spring) and at the end of the appraisal period (summer/autumn term) a final appraisal report.** The whole process of meetings and record keeping should be agreed with the staff and undertaken in a way which minimises workload and bureaucracy. At each point the teacher will have the opportunity to comment in writing. The assessment of performance will be made against the agreed objectives, success criteria and relevant standards. In this school, teachers and the headteacher will receive their written appraisal reports at the conclusion of the appraisal cycle. In accordance with the Appraisal Regulations, the appraisal report will include;

- details of the teacher's objectives and success criteria for the appraisal period in question;
- **an assessment of the teacher's performance of their role and responsibilities against:**
 - a) **the agreed objectives and success criteria; and**
 - b) **the relevant Teachers' Standards**, any other set of standards relating to teachers' performance published by the Secretary of State as the headteacher, governing body or local authority determines as being applicable to the performance of the teacher, and where appropriate, the Headteachers' Standards 2020; and
 - c) the appraisal objectives criteria as set out in the **Appraisal Policy Guidance and Toolkit Appendix 3.**
- **an assessment of the teacher's professional development needs and identification of any action that should be taken to address them;**
- **where relevant under the Document (STPCD) a recommendation relating to the teacher's pay; and:**
 - a section for the teacher and appraiser to add their own comments;
 - any welfare or wellbeing issues.

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

18. Monitoring and Evaluation of the Policy

18.1 The governing body will put in place appropriate arrangements for the implementation of the appraisal policy to comply with the Equality Act 2010 and to be monitored and evaluated based on feedback. The headteacher will provide the governing body with a brief written report on the operation of the school's appraisal policy on an annual basis. The report will not contain information that would enable any individual to be identified. The Appraisal Guidance and Toolkit document 18.1-18.2 provides suggestions on what information to be included in report.

18.2 The report will be presented to the autumn term governing body meeting.

19. Review of the Policy

19.1 The Governing Body will review the appraisal policy every school year and will take account of the headteacher's report in the review. All new teachers appointed to the school will be briefed on the appraisal policy as part of their induction.

20. Access to Documentation

- 20.1 Copies of relevant template documents and policies are published on the schools intranet and/or can be obtained from the school office. These may include the school's improvement plan, training plans and the latest self-evaluation reports.

21. Focussed Support within Appraisal

- 21.1 Except in the most serious cases of persistent failures to meet job expectations and teaching standards, resulting in negative consequences on the pupils and organisation of the school, teachers should not ordinarily be placed in capability procedures without first undergoing a period of focussed support as part of the appraisal process. Where performance concerns emerge, the nature and seriousness of those concerns should be discussed as soon as possible with the teacher in a meeting. The employee should be encouraged to contact their trade union for support at this stage. The purpose of the meeting will be to fully discuss the concerns and how the school can support the teacher, where appropriate, through a planned programme of focused support within appraisal. Every effort should be made to resolve performance concerns within the appraisal process, through the provision of a period of focused support, agreed in discussion with the teacher and through regular feedback and review. Where evidence demonstrates that the teacher is not performing to the required standard, the headteacher or other identified senior leader / Chair of Governors (as appropriate) will be included in these discussions at the appropriate stage. (See Guidance and Toolkit 21.1) and **Appendix 2 – Invitation Letter to discuss initial performance concerns within appraisal**).
- 21.2 The focussed support plan should provide a clear relationship between the performances issue(s), the objectives set and the planned documented programme of support put in place. The line manager, appraiser or Chair of Governors (as appropriate for headteacher) should partner with the teacher in a collaborative manner to establish objectives for improvement, success criteria and timescales taking into account the teacher and circumstances of the school. This may include any medical conditions well-being or support needs or disabilities protected by equality legislation. The headteacher or Chair of Governors (as appropriate) should explain the implications and process if no, or insufficient improvement being made during this period of support which could include the commencement of the capability procedure;
- 21.3 Focussed support and feedback should be provided for a period of six weeks to allow for performance improvement. In exceptional cases, the duration may be extended for a further 2 – 3 weeks depending on the circumstances and the progress made at the end of this period. Appropriate support, agreed with the teacher/headteacher will be put in place to facilitate improvement. The appraiser should meet with the teacher regularly to assess the progress, provide feedback and ensure the agreed upon support is being provided, accessed and effective.
- 21.4 When progress is reviewed, at the end of the agreed period, if the appraiser is satisfied that the teacher has made sufficient improvement, the period of focussed support will end and the appraisal process will continue as normal, with any remaining issues continuing to be addressed through that process. If the performance concerns are not resolved within the timescales set for focused support, consideration should be given to the application of the capability procedure.

Advice from the HR Service should be sought at this point and at key points in the ongoing process.

22. Transition to Capability

- 22.1 There is no automatic transition to the school's capability procedure. However, as set out above, where performance concerns emerge, the nature and seriousness of those concerns should be discussed as soon as possible with the employee. The employee should be reminded to contact their trade union for support at this stage. There should be some evidence to demonstrate that the school has put in place reasonable arrangements to enable the employee to resolve the performance concerns within the appraisal process. This should be through initial support and then, where required, through the provision of a six week focussed support plan agreed in discussion with the employee. Where concerns are such that the employee is not performing to the required standard, the appraiser should ensure that the headteacher or other identified senior leader is included in these discussions.
- 22.2 Where the teacher / member of the support staff demonstrates serious underperformance, or there is insufficient progress against the objectives / their job requirements and the employees' performance has not responded effectively to the period of focussed support within appraisal, consideration should be given to the commencement of the capability procedure. The decision to consider transition from appraisal to capability should therefore not come as a surprise to the employee. The appraisee will be notified in writing that the appraisal process will be suspended and that their performance will be managed within the capability procedure.
- 22.3 The headteacher (or other senior leader) / Chair of Governors (as appropriate) will initiate and be responsible for the implementation of the capability procedure. Where the headteacher is the subject of the capability procedure, the governing body will engage an appropriately qualified, skilled and experienced external adviser from the Education Improvement Service and seek advice on the process from the HR Service. (See School Disciplinary (Capability) Policy 2024 (Para 1.3 / 4.3).
- 22.4 Disciplinary (Conduct) procedure will only be triggered by factors relating to misconduct or breach of professional standards. School should be careful not to conflate these procedures but, if appropriate to the circumstances, they can run concurrently.
- 22.5 The School staffing (England) (Amendment) Regulations effective from 1 September 2012 require governing bodies of maintained schools to confirm, if asked for a reference by a prospective employer, whether or not a member of the teaching staff has, within the last two years, been the subject of capability procedures. This places a statutory responsibility on the governing body to provide the prospective employer with teacher references, which comply with this requirement.

23. Ofsted and wellbeing

- 23.1 In managing the appraisal process and in setting appraisal objectives, the school will take account of the current Ofsted Inspection Framework regarding workload and wellbeing. The headteacher and the governing body will ensure that the appraisal process supports employee professional development and wellbeing and where any employee experiences performance difficulties, they will be provided with appropriate support and encouragement to make the identified improvements.

24. Further support

See the Appraisal Policy Guidance and Toolkit document for further support materials including:

Appendix 1 – The Education (School Teachers' Appraisal) Regulations 2012 – Appeals' Procedure

Appendix 2 – Roles and responsibilities

Appendix 3 – Invitation to discuss initial performance concerns within appraisal

Appendix 4 – Appraisal Objectives Criteria

Appendix 5 – Teacher Appraisal proforma

25. Reference documents

- School Teacher's Pay and Conditions Document 2025 ([STPCD 2025](#))
- [Teachers' Standards 2012](#)
- [Teachers' Standards \(Early Years\) September 2013](#)
- [Headteachers' standards 2020](#)
- [Standards for teachers' professional development and the implementation guidance 2016](#)
- <https://www.gov.uk/government/publications/data-burdens-on-schools>
- <https://www.gov.uk/government/publications/induction-for-early-career-teachers-england>
- [School's Induction Policy](#)
- [Teacher appraisal \(valid from September 2024\)](#)
- [Teacher capability: guidance for schools when dealing with serious under-performance \(valid from September 2024\)](#)
- [Managing Teachers Pay](#)

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