



Nottinghamshire School Appraisal Policy For Teachers

GUIDANCE and TOOLKIT FOR HEADTEACHERS AND GOVERNING BODIES

September 2025

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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 (add location)	Staff server, National College and KS1 office

HR Advice, Support and Training Service

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Amendments to previous 2024 version are shown in red type

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School Appraisal Policy Toolkit and Guidance

1. Introduction 1.1 - 1.7

1.1 General

Schools should consult on the Appraisal Policy, Guidance and Toolkit 2025 and the governing body should then consider the policy and this guidance document and toolkit prior to adoption. The Governing Body should refer to the Decision Planner and complete any sections on pages 1 and 2 of the policy setting out their decisions and approval of the policy discretions. This has been re-formatted to make the process of governing body approval easier and quicker to manage. The governing body must still review the entire policy and in particular the version showing the changes in red from the previous year version.

Once agreed, it will not be necessary for the policy to distinguish between emboldened and other text in the final school version. The school should complete the front inside cover containing the **blue highlighted** sections of the policy. The **red type** version of the policy and guidance indicates the updated changes.

The Appraisal Policy is recommended for adoption for all Nottinghamshire schools including; community, foundation, voluntary aided; voluntary controlled, academy and trust schools. For the purpose of this document, the term 'school' should be taken to include academies and all other forms of governance arrangements. Where individual academies do not have governing bodies reference in this guidance to the governing body should be taken to mean the relevant body to which the power to adopt the appraisal policy and take relevant decisions has been delegated.

1.2 The Appraisal Regulations, definition of “teacher” and statutory requirement to make a pay progression determination.

The statutory Appraisal Regulations apply to all “teachers” This is defined by the STPCD 2024 page 60 “teacher” and page 61 “unqualified teacher” which refer to s122 and s133 (1) of the Education Act 2002 . The definition therefore includes any unqualified teacher – a teacher who is not a qualified teacher and who is prescribed by Order under section 122(5) of the Act as a school teacher for the purposes of that section(33).

Paragraph 19.2 of the STPCD 2025 sets out the requirement for the governing body to determine how pay progression will be determined, subject to (a) a written pay recommendation is required for every teacher following the outcome of the school or local authority's appraisal arrangements, see Appraisal Regulations 7 (6) (c)). In making this decision, the relevant body must have regard to this recommendation; (b) 1.1.2 any relevant body that chooses not to retain performance related pay, as set out in their pay policy, may decide to withhold pay progression where serious performance concerns are identified and the teacher/ employee is in receipt of focussed support within appraisal or subject to capability proceedings. The Appraisal policy reflects the Pay Policy 2025 which is in accordance with paragraph 1.1.2. As explained in the policy, headteachers have been consulted and the overriding view is that performance related pay, should not be retained.

1.8 Professional Development

The quality of teaching is the single most important in-school factor for improving pupil outcomes, and it is particularly important for pupils from disadvantaged backgrounds. Effective professional development is an integral part of ensuring high-quality teaching that enables teachers to manage teaching and learning effectively. Schools should consider how they establish strong professional development cultures which elevate the quality of teaching and ultimately improve pupil outcomes. Since 1 September 2024, the removal of the *requirement* for performance related pay from the STPCD, allows schools to have a greater opportunity to focus on professional development in objectives and appraisals. (Page 9 DFE Appraisal Guidance). Professional development should form a key component of teacher objectives, ensuring their professional practice remains up to date with the latest methodologies, technologies, and educational research.

Professional development is a shared responsibility between the individual teacher and their school. It is good practice for staff and leaders to consider the personal development needs of teachers alongside school improvement needs and priorities. Schools should identify sufficient resources and support to meet teachers' and the school's professional development needs. When they do so, teachers have a responsibility to be proactive in identifying their own needs and utilising all resources and opportunities open to meet them (such as collaborating, observing and making use of research). Schools should consider how a teacher is supported to implement learning in their school, and how professional development opportunities taken build on and complement each other.

As part of facilitating high-quality professional development for teachers and school leaders, headteachers and governing bodies should consider how National Professional Qualifications (NPQs) can support an individual and school's development needs. NPQs are part of a wider set of teacher development reforms, running from Initial Teacher Training (ITT) through to school leadership, which root teacher and school leader development in the best available evidence. NPQs provide training and support for education professionals at all levels, from those who want to develop expertise in specialist areas of teaching practice to those leading multiple schools across trusts.

1.8 Teachers Standards and Headteachers Standards

This guidance is in line with The Education (School Teachers' Appraisal) regulations 2012, the Teachers Standards 2012 - updated Dec 2021¹ and the Headteachers' standards 2020. The policy has been further developed since 2024 in collaboration with headteachers and senior leaders in Nottinghamshire schools. This document aims to provide governing bodies with guidance on the adoption and application of an appraisal policy and how governors should conduct the statutory appraisal process. The guidance should be read in conjunction with Nottinghamshire School Appraisal Policy 2025. This policy and guidance should also be considered in conjunction with the Nottinghamshire School Pay Policy, Guidance and Toolkit 2025 and the Disciplinary (Capability) Procedure 2024.

• 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.

3 Purpose 3.1 – 3.3

The governing body of a school must adopt and make available to teachers a policy document which sets out the appraisal process for teachers. (The Local Authority must adopt and make available to unattached teachers or teachers otherwise employed than at a school a document which sets out the appraisal process for such teachers). The appraisal regulations state that **“The objectives set for each teacher will, if achieved, contribute to the school’s plans for improving the school’s educational provision and performance and improving the education of pupils at that school”**, Regulation 6. This sets out the statutory element of the appraisal regulations and can only be achieved through a focus on developing teaching and learning linked to securing good pupil progress within the context of the school’s improvement plan and taking account of pupils’ starting points.

The emphasis of the appraisal policy is on support and development of staff, timely access to relevant training / coaching which is tailored to a teacher’s needs and identification and resolution of performance issues at low level and early stage. Where focused support is required, this should be provided within the appraisal process to nip issues in the bud and avoid the need for transition to capability procedures wherever possible. Schools should provide support within appraisal, before considering a transition to the capability procedures, if performance issues arise or insufficient progress is being made against the success criteria for one or more objectives. See paragraphs 20.0 onwards. The appraisal regulations still require a recommendation on pay where the teacher has not reached the maximum of their salary scale.

4. Equalities and Equal Opportunities 4.1 – 4.2

This section sets out the obligations of the school to comply with the requirements of the Equality Act 2010 and paragraph 3.1 is linked with paragraph 17.1 in the document in relation to monitoring and evaluation of the policy.

5. Application of the Policy 5.1 – 5.3

All schools are required to have procedures agreed by the governing body to manage the performance of all teachers, including the headteacher, as set out in regulation 8 of the School Staffing (England) Regulations 2009 and the Education (School Teachers’ Appraisal) (England) Regulations 2012. This includes all teacher pay ranges MPR, UPR, UTR and LPR and teachers on temporary or supply contracts.

All teachers employed in schools have an entitlement to professional development, to receive feedback on their performance and to understand how they are performing in their role. The local authority recommends that schools should have an effective appraisal policy in place for all categories of staff. The governing body will need to decide (for paragraph 4.2) whether or not the policy applies to all staff in school or only to teaching staff.

In July 2016 the DfE issued the Standards for teachers’ professional development 2016 and the accompanying implementation guidance issued to all schools by the DfE in July 2016. Governing bodies are required to familiarize themselves with the contents of this standard and ensure that all CPD and professional development activities meet these requirements.

It is important that schools regularly review job descriptions in conjunction with staff to ensure that they are current and accurately reflect their duties and responsibilities. In addition to the job description, the performance of teachers must be assessed against:

- the extent to which appraisal objectives have been met at the end of the appraisal cycle, based on evidence against the success criteria for each objective. In setting objectives headteachers may use the Appendix 3 - Appraisal Objectives Criteria, the document as a resource. (This document is replicated as Appendix 3 in the School Pay Policy Toolkit).
- the appropriate Teachers' Standards, where appropriate the Headteacher Standards 2020 and against other relevant, nationally recognised professional standards.

Please see **Appendix 2** for roles and responsibilities in the application of this process.

6 The Appraisal Period 6.1 - 6.4

The default period is set and the Governing Body should determine and amend the details of the appraisal period in line with regulations if different to the academic year shown. Each appraisal period will normally last for twelve months. Teachers employed on fixed term contracts of less than one year will have the appraisal period determined by the length of the contract. The statutory periods which existed under the previous performance management arrangements requiring that each cycle should be completed by 31 December for headteachers and by 31 October for all other teachers are no longer compulsory. Schools should arrange meetings to undertake the previous year's review, and to set objectives for the new academic year, as soon as possible to enable the appraisal cycle to run from 1 September to 31 August.

There may be exceptional circumstances in a particular year where there are anticipated or unexpected factors which create a difficulty for the school in achieving the agreed appraisal timescales. In these circumstances, local authority advice is that the headteacher and/or governing body should alert staff and consult with staff explaining the implications for the appraisal cycle at the earliest opportunity. The school should agree a revised date for that year as close as possible to the agreed cycle in the school policy. It is envisaged that such circumstances will be rare, but it is important for all staff to have considered objectives based on the current position of the school, taking into account all relevant factors.

As a means of avoiding pressure at the end of the appraisal period, schools may want to consider building initial review meetings into the school timetable at the end of the summer term so that outline objectives can be set for the following appraisal cycle. These objectives can be adjusted and finalised at the start of the autumn term by taking into account examination results, pupil intake/cohort etc. The earlier objectives and success criteria are set, the greater the period of time available for staff to work towards them and for support/related professional development arrangements to be organised and scheduled into the appraisal cycle over the school year.

7 Absence During the Appraisal Period 7.1 – 7.3

Where absences occur during the appraisal cycle, it is important that headteachers (for teachers) and the Chair of Governors (in respect of the headteacher) seek advice from the

HR Service. If the headteacher is absent for a prolonged period the governing body must ensure that robust arrangements for the management of the appraisal cycle for all staff in the school are put in place.

Assessing performance in the context of absence may create some difficulties for the appraisal process. Headteachers must be aware that a decision not to award incremental pay progression must be **evidence** based and be attributable to performance concerns and application of the capability procedure or a failure to work for the required 26 aggregated number of weeks in the school year. It is important to ensure that the rationale for any decision is properly communicated, documented and recorded.

Maternity Absence - A decision to deny an employee an appraisal review and/or pay progression purely **because of** their absence due to maternity leave will automatically be discriminatory and unlawful. Before any decision is made about the meeting of appraisal objectives in these circumstances HR advice should be sought. The school must take a practical and flexible approach to conducting appraisals and outcomes for women absent on maternity leave and this will include situations where a teacher has been absent for part or all of the reporting year.

Disability related sickness absence – schools are required to consider reasonable adjustments for a teacher who is absent for disability related reasons to ensure that they have an equal opportunity to participate in appraisal. Whilst there is no equivalent of the “maternity equality clause” (i.e. the clause that deems a woman to have received a pay rise to which she would have been entitled had she not been on maternity leave) in the Equality Act, a decision based on sickness absence which is disability related may also be discriminatory, where it falls under the provisions of the Equality Act (2010).

Absence for Some of the Appraisal Cycle

In these circumstances, the school should ensure that the employee is supported and the absence properly managed to ensure that the absent teacher receives fair treatment whilst ensuring the integrity and robustness of the schools appraisal and pay policies for all teachers in the school. It should still be possible in most cases, to make a determination of overall performance against appraisal objectives and the relevant Teachers’ Standards or Headteacher Standards within the current appraisal cycle. 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. The only other reason will be attributable another statutory provision within the STPCD (ie failure to work a minimum of 26 weeks service in any given academic year).

Maternity leave - In the case of maternity leave, performance before the leave began, even if this is early in the appraisal year or the period after a return, even if this is late in the appraisal year should be taken into account. This will include consideration of any performance that may have reasonably been expected to have been achieved during the compulsory maternity leave period. Where there is insufficient evidence during the current appraisal cycle a judgement will need to be made about using evidence from recent previous appraisal reviews. Schools should not require teachers to use their Keeping in Touch (KIT) days for the purposes of appraisal.

Disability related absence - In the case of disability related absence, the school should consider the same range of options outlined above for teachers on maternity leave. When a teacher returns to work following a period of disability related absence, the school must

consider the achievement of the appraisal objectives, had they not been absent for a reason related to disability, if the reason for the non achievement is the teacher's disability or the reason for the refusal cannot be objectively justified. Advice from your HR Business Partner and Occupational Health provider must be sought to establish whether the absence is disability related.

Absence for all of the Appraisal Cycle

In the case of maternity leave or disability related sickness absence, where the employee is absent for the whole of the appraisal cycle (or such proportion of it rendering it impossible to assess performance), then a judgement should be made on how the employee would have performed had they been present. This should be done by taking into account previous performance based on the last one or two year's appraisal reviews.

In both circumstances, the employee's performance objectives should have already been adjusted to take into account any reasonable adjustments that need to be made in terms of expected performance / outcomes.

Where sickness absence is not disability or maternity related the evidence available at the end of the appraisal cycle will determine whether or not the objectives have been met.

8 Appointing Appraisers and training 8.1 – 8.4

The appointment of and training for appraisers, including relevant governors, is critical to ensuring that the appraisal process is carried out fairly and effectively. Appraisers must understand that the appraisal process should be clearly rooted in evidence, the evidence used is proportionate and should not unnecessarily add to teachers' workloads.

8.2 – 8.3 Appraisal arrangements for the headteacher

The appraisal regulations state that the governing body of a school **must appoint an external adviser** for the purposes of providing it with advice and support in relation to the appraisal of the headteacher. Governing bodies should satisfy themselves that an appropriate adviser is appointed who is skilled, informed and impartial. The external adviser appointed should have a good understanding of the improvement needs of the school and of up to date national requirements related to the quality and effectiveness of educational provision in schools.

The governing body must appoint governors to appraise the headteacher and the Local Authority recommends that 1 – 3 governors should be appointed to the sub group. For schools with a religious character, the governing body will decide the number of foundation governors, if any, within the sub group. The School Governance (Roles, Procedures and Allowances) (England) Regulations 2013 Schedule 1, Part 3 (page 13) clarify that it is not appropriate for any member of staff, staff governor or relatives to be involved in the headteachers' or other teachers' appraisal and they must therefore be excluded from any headteacher appraisal arrangements.*1

Where a headteacher is of the opinion that a governor appointed by the governing body to the sub group is unsuitable for legitimate reasons, e.g. for professional reasons or where there is a conflict of interest, they may submit a written request to the governing body for that governor to be replaced, stating the reasons. If legitimate concerns are raised about the choice of appraiser, these must be considered and if the governing body deems these concerns to be valid, an alternative appraiser should be offered. There is no further right of

appeal against the allocation of appraiser and the final decision rests with the Chair of Governors.

8.4 Appraisal arrangements for all other Teachers

The headteacher should decide whether they will be the appraiser for all teachers or whether to delegate this responsibility to other appropriate members of staff. The headteacher must set out the appraisal arrangements for all other staff, including support staff in the school. The appraiser may only be required to undertake this role where they have line management responsibilities for which they are paid. The policy should include reference to any leadership posts included in the decision of who appraises whom.

Where a teacher is of the opinion that an appraiser appointed by the headteacher is unsuitable for legitimate reasons, e.g. for professional reasons or where there is a conflict of interest, they may submit a written request to the headteacher for that appraiser to be replaced, stating the reasons. If legitimate concerns are raised about the choice of appraiser, these must be considered and if the headteacher deems these concerns to be valid, an alternative appraiser should be offered. There is no further right of appeal against the allocation of an appraiser and the final decision rests with the headteacher.

The governing body including the headteacher should have regard to the requirements of the School Governance (Roles, Procedures and Allowances) (England) Regulations 2013, and ensure that in allocating appraisers and in making decisions about appraisal or pay for all members of staff there is no opportunity for pecuniary interest or unfairness.

The options below provide information for the headteacher to decide how the appraisal arrangements will operate for all other posts. Once the options have been considered, the detail should be included in the school appraisal policy. Where the headteacher is not the teacher's line manager, the headteacher may delegate the responsibility for appraisal to the teacher's line manager including recommendations on pay progression. This is by no means an exhaustive list but the options available to the headteacher include the following:

Options for 8.4

Option 1 – The headteacher will appraise all teachers in the school.

This is only likely to be an option in a small primary school where the number of staff and appraisers is limited. Where this option is agreed by governors, they will need to be satisfied that this can be managed effectively, taking into account the workload and wellbeing of the headteacher and how this arrangement may impact on other responsibilities and or work / life balance.

Option 2 – The headteacher will appraise those teachers they directly line manage and will delegate the role of appraiser, in its entirety, including recommendations on progress towards meeting appraisal objectives, to the relevant line managers for some or all other teachers.

Where the headteacher has chosen option 2, then either:

- line managers will appraise all of those teachers they line manage; or
- a decision would need to be made about the maximum number of appraisals that any line manager will be expected to undertake per appraisal cycle and the policy will need to be updated to include a statement setting this out.

The Local Authority recommends that good practice is for an appraiser to undertake appraisal for up to 4/5 teachers. This is not an absolute figure and in some circumstances it may be appropriate to exceed this number in the light of the school staffing structure.

Where the teacher has more than one line manager, the headteacher will need to determine which line manager will be best placed to act as appraiser. Where it becomes apparent that the appraiser appointed by the headteacher will be absent for the majority of the cycle or is unsuitable for professional reasons, the headteacher may perform the duties or delegate to another teacher for the duration of the absence. Where the teacher appointed to this role is not the appraisee's line manager, the new appraiser should have an appropriate position in the staffing structure, together with the necessary background knowledge, skills and training to undertake the role. Although no longer a requirement within the regulations, the Local Authority recommends that it is good practice for the teacher acting as appraiser to have an equivalent or higher status within the staffing structure equivalent to the teacher's own line manager, wherever possible. In exceptional circumstances where this may not be possible due to difficulties within the school structures, the headteacher should determine the alternative arrangements. Where a teacher is experiencing performance difficulties, the headteacher may appoint a member of the leadership team to undertake the role of appraiser or undertake the role of appraiser themselves. In circumstances where the responsibility for appraisal is delegated by the headteacher, consistency is important and there should be no selective retention by the headteacher of certain groups of teachers. The appraisal cycle should not begin again in the event of the appraiser being changed. All appraisers should receive appropriate preparation training for the role.

9 Quality Assurance of Appraisal Statements 9.1 – 9.3

9.1 The governing body must ensure that quality assurance arrangements are securely in place and give careful consideration to the options available. This will enable equality obligations to be met by ensuring that the consistent and equal treatment of all staff is monitored through the quality assurance process. Governing bodies are strongly advised to have an effective quality assurance system in place for appraisal to ensure that the appraisal process is **rigorous** and **robust**. The quality assurance process will ensure that objectives and success criteria are appropriately set for all staff, that they are consistent and clear about the level of challenge required. Objectives should be set in line with the school's improvement plan and the relevant professional standards and recorded in such a way that the measurement of success will be carried out objectively.

The Ofsted framework no longer requires inspection teams to request that schools provide anonymised information on the outcomes of the most recent appraisal of all teachers. Governors should still ensure that they maintain a robust and effective oversight of the appraisal process and ensure appropriate professional development support is in place for all teachers.

School leadership teams are advised to ensure that they are able to correlate evidence from appraisal against learning and progress over time and examination outcomes (value added) as this will be evidence to support the judgement on leadership and management.

This section of the policy should set out the arrangements, agreed and recorded in the **Decision Planner** by the governing body to quality assure appraisal statements for all staff. A number of options are provided and the governing body should confirm their decision by completing the agreed arrangements under the appropriate heading for headteacher appraisal and other teacher appraisal.

9.2 Quality Assurance - Headteacher Appraisal Statement

The Governing Body will ensure the headteachers appraisal statement is quality assured. Therefore:

Either

Option 1 – Nominate the chair of the governing body, who may not then be involved in the headteacher's appraisal or any appeal regarding the headteacher's appraisal to ensure that the appraisal statement:

- Is consistent with the school's improvement priorities and complies with the School's Appraisal Policy and the Appraisal Regulations 2012; and
- Assesses the headteacher's performance of their role and responsibilities against the headteachers' job description and relevant headteacher standards

OR

Option 2 – Nominate (1 up to 3 governors – state the number and exclude any governor who is also a member of staff) who will not be involved in the headteacher's appraisal or any appeal regarding the headteacher's appraisal to ensure that the appraisal statement:

- Is consistent with the school's improvement priorities and complies with the School's Appraisal Policy and the Appraisal Regulations; and
- Assesses the headteacher's performance of their role and responsibilities against the headteachers' job description and relevant headteacher standards.

The governing body will need to carefully consider the options and the role of the chair of governors. Where the chair of governors is one of the appraisal governors for the headteacher, it will not be possible for them to undertake the quality assurance role. No governor should undertake both roles.

The appraisal governors should send the draft appraisal objectives and success criteria (KPI's) to the quality assurance governor(s) who should satisfy themselves that the objectives and success criteria are appropriate and meet the statutory requirements. The Local Authority recommends that an effective quality assurance role is agreed by the governing body.

9.3 Quality Assurance - Other Teacher Appraisal

Where appraisal is delegated to line managers for some or all teachers the headteacher will either :

Option 1 – Moderate **all** the appraisal planning statements to check that the plans recorded in the statements:

- Are consistent in the degree of challenge between those who have similar experience and responsibility;
- Comply with the School's Appraisal Policy, the Appraisal Regulations and relevant equality legislation;
- Assess the teacher's performance of their role and responsibilities
- Ensure that the objectives set for each teacher, will, if achieved, contribute to the school's plans for improving its educational provision and performance and improving the education of pupils at that school; and

- Set out the level of good performance required and ensure that objectives are more challenging for teachers and school leaders as they gain experience and progress in their career.

OR

Option 2 – Moderate a **sample** of appraisal planning statements to check that the plans recorded in the statements:

- Are consistent in the degree of challenge between those who have similar experience and responsibility;
- Comply with the School's Appraisal Policy, the Appraisal Regulations and relevant equality legislation;
- Assess the teacher's performance of their role and responsibilities;
- Ensure that the objectives set for each teacher, will, if achieved, contribute to the school's plans for improving its' educational provision and performance and improving the education of pupils at that school; and
- Set out the level of good performance required and ensure that objectives are more challenging for teachers and school leaders as they gain experience and progress in their career.

To reduce bureaucracy and workloads in most large schools option 2 is likely to be appropriate and the school policy may specify that the initial moderation could be undertaken by members of the senior leadership team but with a final moderation undertaken by the headteacher. Governing bodies should not agree to adopt an appraisal policy which excludes an effective quality assurance mechanism due to the fact that it is the headteacher who is responsible for quality assurance. Governors are responsible for ensuring consistency and fairness in the overall application of the policy and the extent to which appraisal objectives have been met at the end of the appraisal cycle.

Professional development and appraisal objective setting

10 Standards and Setting Objectives 10.1 – 10.10

10.3 Professional development and objective setting - The quality of teaching is the single most important in-school factor for improving pupil outcomes. Professional development will therefore form a key component of teacher objectives, ensuring their professional practice remains up to date with the latest methodologies, technologies and educational research. (See Guidance 8.4 and 14.1). It is recognized that professional development is a shared responsibility between the individual teacher and their school. Objectives will have a strong focus on effective professional development to ensure that teachers stay up to date with the latest methodologies, technologies and educational research. *(Note - One of the intended consequences of the removal of the requirement for performance related pay is to allow schools to have greater opportunity to focus on professional development in objectives and appraisals).*

Objectives and appraisal discussions should not be based on teacher generated data and predictions, or solely on the assessment data 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

Teachers' Standards (Revised 2021) -The setting of objectives is an important element of the appraisal process and should be undertaken following appropriate discussion between the appraiser and appraisee. The appraisal regulations state that “all teachers performance must be assessed annually against the Teachers' Standards published in 2011 to a level that is consistent with what should reasonably be expected of a teacher in the relevant role and at the relevant stage of their career.” For teachers who are qualified by virtue of holding QTLS, it is for the governing body or school leader to determine which standards are most appropriate. From 1st September 2013 the other teacher standards (for example Subject Leader Standards) no longer have statutory status but may be used by schools in an advisory capacity. Appraisal objectives should be informed by an evaluation of the teachers' performance assessed against the relevant Teachers' Standard(s).

Headteacher Standards 2020 – articulate how headteachers can meet the additional responsibilities of headship and the requirements of the Teachers' Standards. In the case of other senior leaders these standards may also be used as appropriate to inform appraisal objectives.

These standards replace the 2015 Headteacher Standards and define the high standards applicable to all headteacher roles within a self improving school system. They should be used by headteachers to shape their own practice and professional development and should be used by appraisal governors and the external adviser to inform appraisal objectives. The standards should be used as a support document rather than a checklist of standards against which the headteachers' performance should be assessed. They will therefore be important in the appraisal objective setting process interpreted in the context of the school and the headteachers role. The standards are intended to provide an inspirational and challenging framework for training middle and senior leaders aspiring to headship. They may also be used to inform appraisal objectives for those paid on the leadership range and aspirant leaders (i.e. those paid on the UPR seeking a leadership role) to identify areas for professional development and support.

The governing body is responsible for ensuring that the headteacher is informed of their objectives and the standards against which their performance will be assessed. The headteacher is responsible for informing all other teachers that their performance will be assessed against the Teachers' Standards 2012 and other relevant standards where appropriate. Objectives for all teachers will be set in line with this policy. The nature and weighting of performance objectives should be non discriminatory and provide all teachers with an equal opportunity to access professional development and develop their practice.

The School Collaboration Agreements provide schools with broad scope for establishing innovative leadership solutions on both a permanent and temporary basis where required. The EIS, Governor Services and HR Service are jointly able to provide support and advice on the options which may be suitable in any given situation. The governing body should carefully consider the setting of appraisal objectives for a headteacher, or other member of the leadership team, in certain circumstances. For example, where such appointments are made to turn around a school assessed to be vulnerable to a poor Ofsted judgement or to a school that is judged as requiring improvement or special measures, the governing body will need to determine whether the achievement of appraisal objectives and the level of reward associated with that should be assessed over a shorter or longer timescale than would normally be the case.

Where in exceptional circumstances it has not been possible for the appraiser and appraisee to agree objectives, the appraisee may submit a written statement with the appraisal document and if necessary, the headteacher / (chair of governors for headteacher) who will make a final decision.

The appraisal process, including the setting of clearly defined objectives, success criteria and gathering of evidence, should sit alongside and support all other processes in school to ensure that they are linked to performance through appraisal to avoid any duplication of processes. In setting objectives governors and the headteacher should take account of the following;

1. How do objectives link to school and/or team improvement plan(s), the school's self-evaluation outcomes.
2. How will the achievement of the objectives contribute to pupil progress and the improvement of the school's educational provision?
3. Do the objectives reflect an appropriate assessment of the teacher's performance of their role and responsibilities against the relevant Teachers' Standards?
4. Can the objectives be assessed using quantifiable or qualitative success criteria and is there a clear understanding of the success criteria between appraiser and appraisee?
5. Do the objectives provide challenge to the teacher without being unreasonable?
6. Are the objectives fair given the experience, role and responsibility of the teacher?
7. To what extent are objectives within the control of the teacher and should not be reliant on external factors which the teacher cannot influence?
8. Do the objectives take into account wellbeing and work life balance issues?
9. Do the objectives take account of the teacher's professional aspirations, within the context of the school's priorities?
10. Are objectives consistent, fair and reasonable when compared to the objectives set for other teachers of similar experience, responsibility and status?
11. Has account been taken of the working time of staff e.g. staff employed to work part time, have had a period of absence due to illness, disability or maternity, and for any staff who have a disability?
12. Does the teacher understand that if performance concerns emerge, focussed support within appraisal will be provided. If performance concerns are not resolved within appraisal this may require the implementation of the capability procedures
13. **TLR and Subject Leadership –**

10.6 STPCD Section 3 Paragraph 48 sets out that teachers cannot be expected to *take on responsibility of , and accountability for, a subject area or to manage other teachers* without payment for the additional responsibility which will either be payment on the leadership scale or a TLR. This does not mean that they cannot contribute to curriculum development orally or in writing.

The HR Service and EIS are clear that no one single teacher is expected to discuss subject leadership responsibilities with Ofsted on their own. In applying the requirements of the Ofsted framework. It is understood that there needs to be some flexibility in how subject leadership in schools is managed. The STPCD 2025 Guidance (Paragraph 48, states: *"All teachers are expected to contribute orally and in writing to curriculum development by sharing professional expertise with colleagues and advising on effective practice. This does not mean a teacher can be expected to take on the responsibility and accountability*

for a subject area or to manage other teachers without appropriate additional payment. Responsibilities of this nature should be paid on the leadership range or linked to a post which attracts a TLR 1 or TLR2”.

This means that schools need to be careful in how they define a teacher’s role in subject leadership where they are paid on the MPR or UPR. Whilst they can expect to be assigned to and fully contribute to the development of a specific curriculum subject / area their role must be overseen by a senior teacher, paid at the appropriate rate who will retain overall leadership responsibility. A teacher should not be held fully responsible for outcomes within or across the subject / curriculum area unless they are paid appropriately.

11 The Objectives 11.1 – 11.8

The points in this section are for guidance only and may apply to some and not all teachers according to their role. The governing body may wish to include school specific items.

Though appraisal is an assessment of the overall performance of teachers and of the headteacher based on the relevant Teachers’ Standards and or the Headteacher Standards, objectives cannot cover the full range of a teacher’s/headteacher’s role or responsibilities. Objectives will therefore focus on the key priorities for an individual within the cycle. The objectives set *“should contribute to the personal and professional development of the appraisee and will, if achieved, contribute to the effective delivery of the school’s plans for improving the school’s educational provision and performance and for improving the education of pupils at the school.”* (The Education (School Teachers’ Appraisal) regulations 2012)

The appraisal process should, therefore, be supportive and developmental. All teachers should clearly understand what it is they have to do achieve to meet their appraisal objectives by the end of the appraisal cycle. The school must manage the appraisal process so that there are no surprises at the end of the year. Throughout the appraisal cycle both the teacher and their appraiser should meet regularly and clearly understand what objectives are in place and the success criteria and evidence that will be used to assess performance and progress throughout the cycle.

The appraisal cycle is annual, but on occasions it may be appropriate to set objectives that cover a period of more than one cycle. In such cases, the basis on which the progress being made towards meeting the appraisal success criteria for the objective will be set out in the appraisal statement at the start so that it is clear what will be assessed at the end of the first cycle. At the beginning of the next cycle the appraisal statement will be updated.

The governing body will need to determine the number of objectives each teacher in the school will have. The local authority recommends that all teachers including headteachers will normally have no more than 3 objectives in an appraisal cycle as set out in the policy. In setting objectives, the appraiser should take account of the individual’s circumstances, including their contract of employment and whether or not they work part time or have a disability. Given the importance of child protection and safer working practices, appraisal for those with leadership responsibilities should be used to ensure that evidence confirms robust and effective procedures are securely in place. Objectives should be specific, measurable, achievable, realistic and time bound (SMART). Following the review / appraisal meeting, the appraiser should give the appraisee a copy of the appraisal statement within 5 days of the meeting.

Setting objectives within appraisal

When agreeing objectives with individual teachers account must be taken of the extent to which the pupils in each class need to improve from their starting points to ensure that the right proportion of pupils are on track to reach ARE in all other cohorts, based on their starting points.

The Appraisal Objectives Criteria (Appendix 3 Guidance and Toolkit) states that for all teachers:

“Typically, all pupils make expected gains in learning taking account of pupils’ starting points at the end of the previous school year; last key stage and the extent to which pupils need to make accelerated progress within the year”. *(Schools will need to define “expected gains in learning” for individual teachers and what accelerated progress is required for each pupil, based on the individual pupil’s starting points at the beginning of the key stage and the year and the make-up of the class).*

Headteacher Objectives

The Nottinghamshire headteacher appraisal guidance for external advisors gives a clear steer to appraisal governors of the key areas on the Headteacher Standards 2020 that should inform headteacher objective setting. Objectives should align to the school’s strategic priorities and include a personal development objective:

Objective 1 An objective to focus on improving the education of pupils – could have a;

Focus on the quality and effectiveness of leadership at all levels, including governance, in building leadership capacity as part of a sustained self-improving school system.

Objective 2 An objective to improve the school’s educational provision and performance could have a ;

Focus on the quality of curriculum provision to improve performance (progress from starting points) of all pupils, including curriculum provision for any underperforming / vulnerable groups – FSM6 eligible for free school meals during the last 6 years, EAL english as an additional language, LAC looked after children and SEND special educational needs or disability.

Objective 3 An objective to help build leader’s capacity and expertise – which may;
Link to securing / embedding / sustaining improvement, identified from school self – evaluation, or HT self-evaluation against HT standards

All objectives should include accessing relevant CPD opportunities including possible mentoring or coaching.

All other teachers – Objectives

Teachers objectives should align to the school’s strategic priorities and include a personal development objective. This may include:

Objective 1 (Often called a whole school objective) An objective to focus on improving the education of pupils which could be a whole school/team objective linked to appropriate school/team improvement plans.

Objective 2 (Often called a class based objective) An objective to improve educational provision and performance with the aim of ensuring that the quality of teaching is at least good – which will contribute to improving/sustaining outcomes for all pupils, including those with SEND, disadvantaged pupils and other vulnerable groups attending the school.

Objective 3 (Often called a personal development objective) An objective to help build the teacher's capacity and expertise – which may link to the teachers' Standards, their career stage or leadership responsibility.

All objectives should include accessing relevant CPD opportunities including possible mentoring or coaching.

12 Reviewing Performance 12.1 – 12.7

12.1 Annual and interim appraisal reviews for all staff should be planned into the school calendar year. Good progress towards the achievement of a challenging objective, even where the success criteria have not been met in full, should be assessed favourably. Similarly, where progress is insufficient, the reasons, how identified developmental issues can be addressed and the extent to which focussed support within appraisal has been necessary and provided should be considered at review meetings. Has this feedback and support been agreed and documented at in-year review meetings and is an improvement plan in place. Assessments against the Teachers' Standards should be given at review meetings and on overall progress to secure, where possible, a favourable appraisal outcome. The Appraisal Regulations state that each teacher's appraisal report (**see Appendix 5 – Appraisal Guidance and Toolkit**) must include an assessment of the teacher's professional development needs and identification of any action that should be taken to address them.

Where objectives and success criteria cover a period of more than one cycle it will be necessary for the appraiser and appraisee to agree milestones towards an overall objective so that performance can be measured at the end of each annual cycle. These milestones may need to be reviewed in the light of progress made but as far as possible the overall objectives should remain the same.

Objectives may also need to be reviewed when circumstances outside the control of the teacher - which could not have been anticipated when the objectives and success criteria were set - impact on the achievement of objectives or when it becomes clear that the objectives set have been superseded by more pressing issues related to the school or concerns about a teacher's performance or capability.

12.2 – 12.4 Monitoring and Evaluation and consideration of focussed support

This school believes that monitoring and evaluation 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. In order to support teachers to meet their objectives within the agreed timeframe, it is essential for them to have opportunities to review the progress that they are making against each objective.

The appraisal process is evidence based and each teacher is responsible for the gathering of appropriate evidence of the progress that they are making throughout the year in order

to identify any particular strengths or areas for further development both during the year and at the annual review.

A range of evidence should be available from day to day practice to demonstrate typicality of performance as an outcome of the school's agreed quality assurance cycle and could for example include evidence from sources such as:

- Work scrutiny;
- Questionnaires;
- Planning scrutiny;
- Learning walks/lesson visits//pupil case studies;
- Assessments / Progress tracking data;
- Progress of individuals/groups (vulnerable groups/closing the gap).
- Self assessment / peer reviews and views of parents and pupils

The decision about the use of evidence should be taken in the context of minimizing bureaucracy and reducing teacher workload. 'Making Data Work' which recommends that appraisal objectives and performance management discussions should not be based on teacher generated data and predictions, or solely on the assessment data for a single group of pupils.

Appraisal should provide all teachers with a fair opportunity to demonstrate that they have met the relevant standards and their individual objectives. The evidence should be directly related to the formal appraisal process and with the standards and objectives that have been agreed with the teacher. **It would not be appropriate for the school to introduce evidence requirements that are not directly and explicitly related to appraisal and to the objectives and standards previously agreed with the teacher.** Appraisers should take account of the principle that evidence for appraisal must be proportionate and clearly rooted in the objectives and success criteria set.

It is important for all schools to have in place a Monitoring and Evaluation/Quality Assurance Policy. This policy should be subject to appropriate consultation with staff and that where changes are proposed further consultation should take place.

Before the school puts in place a period of focussed support it is expected that there is some evidence that the following steps will have taken place at an earlier stage within the schools appraisal arrangements:

1. The performance concerns will have been fully discussed at the earliest opportunity in a meaningful and supportive way between the line manager and the employee.
2. The employee is clear about the areas of concern and understands the improvement steps required.
3. There is some evidence of typical actions undertaken and informal support provided, which might include CPD, opportunities, coaching records or emails setting out a summary of coaching or other discussions between the line manager and employee /issues and actions agreed, notes of follow up discussions and notes within the appraisal statement
4. The employee will have been provided with a reasonable opportunity to resolve the identified performance issues through normal in school support over a reasonable period (3-4 weeks).
5. Copy of the Appraisal Policy provided to the employee

Monitoring and Evaluation Protocol

This should be taken from relevant sections of the schools agreed self-evaluation policy/quality assurance policy as appropriate.

13 Appeals

13.1 Appeals

The appeals process is set out in **Appendix 1** to this Guidance and Toolkit.

14 Confidentiality and Retention of Documents

14.1 The headteacher and the governing body should ensure that the appraisal process and information generated within it, is treated with strict confidentiality at all times. The headteacher will have access to all appraisal statements in order to carry out the quality assurance role effectively. Only the appraisee's line manager or, where they have more than one, each of the line managers will have access to the appraisee's records, where this is necessary to enable the line manager(s) to discharge their management responsibilities. The overall aim should be to keep access to these records to a minimum. All records will be retained securely by the governing body (for the headteacher) and by the headteacher (for all other staff) for a period of 6 years. This is the minimum retention period and consideration should be given to retaining/archiving documents for a longer period. Six years takes account of the fact that the appraisal planning documents provide evidence for UPR assessment and other pay progression decisions as set out in the STPCD. In the case of any appeal, governors and employee representatives will have access to the appropriate confidential information relating to the individual which is required for the appeal.

15 Professional Development and Support

15.1 The quality of teaching is the single most important in - school factor for improving pupil outcomes- particularly important for pupils from disadvantaged backgrounds. Effective professional development is an integral part of ensuring high quality teaching that enables teachers to manage teaching and learning effectively. Professional development will therefore form a key component of teacher objectives, ensuring their professional practice remains up to date with the latest methodologies , technologies and educational research.

Professional development is a shared responsibility between the individual teacher and their appraiser / school. All teachers have a responsibility to be proactive in identifying their own needs and utilizing all resources and opportunities open to them (such as collaborating, observing, and making use of research). It is good practice for staff and leaders to consider the personal development needs of teachers alongside school improvement needs and how a teacher is supported to implement learning in their school, and how professional development opportunities build and complement each other.

Reminder - The removal of the requirement for performance related pay is to allow schools to have greater opportunity to focus on professional development in objectives and appraisals.

The school should identify sufficient resources and support to meet teachers' and the school's professional development needs and as part of facilitating high quality

professional development how National Professional Qualifications (NPQs) can be effectively used .

Training and support – The school's CPD programme should be informed by the training and development needs identified in the training annexe of the teachers' appraisal statement. All teacher CPD must conform to the new Standards for teachers' professional development 2016 and the accompanying implementation guidance issued to all schools by the DfE in July 2016. Governing bodies are required to familiarize themselves with the contents of this standard and ensure that all CPD and professional development activities meet these requirements.

The governing body should ensure in the budget planning process that, as far as possible, appropriate resources are made available in the school budget for any training and support needs for all staff in school along with provision for expected pay awards and salary progression decisions. With regard to the provision of CPD in the case of competing demands on the school budget, a decision on relative priority should be taken by the governing body with regard to the extent to which:

- (a) The CPD identified is essential for an appraisee to meet their objectives; and
- (b) The extent to which training and support will help the school to achieve its priorities.

The school's priorities will have precedence. Teachers should not be held accountable for failing to make good progress towards meeting their appraisal objectives where evidence demonstrates this is due to the fact that the support required to meet the objective(s) and success criteria as recorded in the appraisal statement has not been made available.

An account of the training and development needs of teachers in general, including the instances where it did not prove possible to provide any agreed CPD will form part of the headteacher's annual report to the governing body about the operation of appraisal.

The research has informed the development of collaborative models to secure improvements in teaching across Nottinghamshire for many years. These opportunities range from access to collaborative development opportunities and coaching from lead teachers, leading practitioners subject leader networks (secondary), family networks, CPD clusters (primary), Raising Achievement Networks (secondary), Teaching Schools (cross-phase), Local and National Leaders of Education and their schools and more recently, Specialist Leaders of Education.

Professional development is also available through a number of leadership development programmes from a range of providers such as Teaching Schools, the National College, Universities and the Local Authority. Details of the Local Authority's CPD offer is available at: www.em-edsupport.org.uk

All training needs identified as part of the appraisal process will be referred through to the school's CPD coordinator but not the full appraisal statement. The headteacher and governors will need to ensure that reviewers are aware of the range of CPD options available and that provision for CPD is taken into account in the overall budget planning process for the school. This will be communicated to the CPD coordinator and all reviewers with the aim of ensuring that objectives set have the financial resources to provide the required CPD.

If, as a result of interim reviews, it is necessary for focussed support within appraisal to be provided to enable a teacher to meet their appraisal objectives, the school should consider set out an individual teacher support plan.

The 2018 Childcare regulations issued by the DfE are accessed here: <https://www.gov.uk/government/publications/disqualification-under-the-childcare-act-2006> They make reference to the use of appraisal within schools as an opportunity, for example through performance management or other staff discussions, to create the right culture and environment so that staff feel comfortable, where it is appropriate, to discuss matters inside or outside of work, which may have implications for the safeguarding of children in the workplace. These discussions can help schools safeguard their employees' welfare and contribute to their duty of care towards their staff. Where appropriate, it will help schools identify whether arrangements are needed to support these staff. These discussions can also help schools manage children's safety, providing them with information that will help them consider whether there are measures that need to be put in place to safeguard children (e.g. by putting arrangements in place to stop or restrict a person coming into school where a potential risk to children has been identified).

16 Feedback and support 16.1 – 16.2

Feedback to all staff should be provided at the agreed points in the appraisal cycle but also at other times after any observation has taken place or other evidence or performance concerns come to light. In these circumstances, written feedback to the teacher should be provided as soon as possible.

Feedback meetings should be used to discuss particular areas of strength or areas needing improvement. It will be important to separate routine feedback from those situations where a teacher is not performing at an appropriate level. Where a teacher is not performing at an appropriate level the appraiser will need to ensure that a clear explanation is provided to the teacher about which aspects of their performance require improvement and ensure that the teacher understands that focussed support within appraisal is intended to ensure success at the end of the appraisal cycle. It will also be necessary to set out timescales for improvement, what success will look like, the support the teacher will receive to meet the required standard and the consequences of inadequate progress including the potential implementation of the capability procedures. Where possible, feedback meetings should be followed up in writing within 5 days of the meeting taking place. The Appraisal Toolkit provides a pro forma for use at the interim review meeting.

17 Annual Assessment 17.1 – 17.4

Progress should be assessed solely at the end of the appraisal cycle. This is not fair and does not provide sufficient opportunity for discussion about progress made against the objectives. It does not allow the appraisee to respond to areas which need more development nor enable the school to provide additional support or CPD.

Schools will need to decide when reviews will take place throughout the appraisal cycle and decide the dates by which appraisees will receive their written appraisal report. All such reviews and formal appraisal meetings should take place during the normal school working day and/or as part of directed time. This information needs to be included in this section of the school policy. The policy sets out the content of the appraisal report and a template written appraisal report is included within the Appraisal Toolkit as **Appendix 5**.

18 Headteachers Report - Monitoring and Evaluation 18.1 – 18.2

There is no statutory requirement for the headteacher to provide the governing body with an annual report on the operation of the appraisal policy. However, the local authority guidance is that the governing body should monitor the operation and outcomes of the appraisal cycle. Where the governing body decides that an annual report is required, it will

be necessary to determine what information should be included. This section details a number of useful suggestions which governors may find helpful in order to evaluate the overall effectiveness of the school policy.

The annual report should provide the governing body with an overview of the application and operation of the Appraisal Policy. The report must not contain any personal information that may enable any individual to be identified. The report should include:

- An overview of the operation of the appraisal process within school;
- An evaluation of the progress made and the overall effectiveness of the Appraisal policy (including summary information about any appeals or disputes);
- An overall summary of all teacher's CPD training and development needs, rather than a detailed individual information;
- A review of the quality assurance process and any changes required; and
- Any equality issues arising out of the policy, in particular any issues related to equal pay in line with the protected characteristics contained within the Equality Act 2010 (See below).

Headteachers Report Equality Act 2010 - Equal Opportunities

The report should reflect the governing body's commitment to ensuring that the appraisal process is fair and non-discriminatory and should ensure that any equal opportunity issues arising from the appraisal process are included. The report should not enable any individual to be identified. The governing body should ensure that the appraisal process is fair and monitoring data (where declared) should be included in the headteacher's report and include the following information about staff taking into account the protected characteristics of: race; sex; sexual orientation; religion or belief; gender re-assignment; pregnancy and maternity; marriage and civil partnership; disability and age. The governing body should also take steps to ensure that the school's pay policy does not discriminate on the grounds of trade union membership.

The report should not identify an individual teacher's CPD needs. It should summarise planned CPD which supports staff at an individual and whole school level within the framework of the achievement of individual and whole school appraisal objectives. The headteacher should also include a confidential and anonymous section to the report outlining appropriate details of the following:

- Any appeals;
- The cases and the circumstances where teachers have not made satisfactory progress towards objectives; and
- Any instances where and reasons why the training and development set out in the training and development annex have not been provided

19 Review of the Policy

19.1 As stated in 17.1/17.2 there is no statutory requirement for the governing body to review the appraisal policy on an annual basis, but the advice from the local authority is that this is good practice, particularly where this is based on feedback from staff. This annual review recognises the importance of the appraisal policy within school, ensures that it is up to date and consistent with legislation, all other school policies / procedures, and ensures that arrangements are working effectively. It also provides an opportunity for the governing body to ensure that the application and operation of the policy considers wellbeing issues and continues to minimise the impact on workload for individual teachers, line managers, headteachers and governing bodies.

The governing body will need to decide the meeting at which the appraisal policy will be reviewed. In reviewing the policy, governors should take account of the Headteacher's report and any review of the quality assurance processes. The policy will be revised as required to introduce any changes in regulation, legislation and statutory guidance to ensure that it is always up to date.

Where governors consider it necessary to make any changes to the school policy, in consultation with staff, the governing body will seek to agree any revisions to the policy with the local representatives of the recognised trade unions, who may wish to seek advice from their trade union officers. Any proposed changes to the policy should be subject to consultation in the spring term, (dependent on the school's start and end dates for the appraisal cycle), wherever possible, to allow time for agreement of the changes. Where changes are proposed the school should undertake an Equality Impact Assessment and put in place measures to avoid discriminating against employees on the grounds of any protected characteristics and to ensure that part time employees and those employed on fixed term contracts are not treated less favourably. Information on completion of an EQIA is attached as an appendix to the document "Equality and Diversity in Employment – Equality Impact Assessment Guidance" available on the Schools Portal. The application of any changes should apply to the next appraisal cycle. Other than in exceptional circumstances, it would not be appropriate to review the policy and apply changes part way through an appraisal cycle.

For more information on equalities, please refer to the school portal Equality and Diversity in Employment.

To ensure that teachers are conversant with the appraisal arrangements, all new teachers who join the school should be briefed as part of their induction to the school. The timing of the report will depend on the appraisal cycle agreed by the school and should be coordinated with an annual review of the policy by the governing body. The two issues may be considered together or at consecutive meetings, planned in accordance with the annual cycle of termly governing body meetings over the year.

20 Access to Documentation

20.1 All appraisal documents should be retained securely for a minimum period of 6 years.

Focussed support and Transition to Capability 21.1 – 21.4 and 22.1 – 22.5

The emphasis of the appraisal policy is on support and development, timely access to relevant training. Where required, focussed support within appraisal will be provided for a defined period so that the employee is encouraged and supported to resolve performance issues at an early stage within appraisal. There should be opportunities for discussion about any performance concerns at the objective setting stage, interim reviews and at the annual assessment stages.

There should be transparency at every stage and where concerns emerge these should be discussed with the appraisee and support offered as soon as possible, without waiting for future planned review meetings to take place. If an appraiser identifies through the appraisal process, or via other sources of information, that the teacher is not performing at an appropriate level such that the difficulties experienced by the teacher, if not rectified, could lead to capability procedures, the appraiser, should arrange a meeting and involve the headteacher or member of the leadership team.

The involvement of the headteacher or other senior leader in this discussion will ensure that the appraisal procedures in place at this time are appropriate and robust. The appraiser and appraisee will be supported in the review meeting to do the following (see Appendix 3 – suggested template letter to employee):

At the conclusion of the meeting clear written feedback about the nature and seriousness of the concerns should be provided to the appraisee to verify accuracy and a copy should be returned for the teacher's appraisal file. The implications for pay progression should be explained, if the capability procedure is subsequently applied.

At subsequent interim discussions / reviews where progress is evident this should be acknowledged and the support arrangements in place reviewed. However, where progress is inadequate any review meetings which take place should be minuted and discussions with the appraisee held in the context of increasing concern. The notes/minutes of meetings should be shared with the appraisee to verify accuracy and then returned for the teacher's appraisal file. Where any additional action/support/CPD plan is required, this should be identified as part of the focussed support within the appraisal process and this should also be recorded along with the next review date, outcome and next step. The 3-4 week informal support within appraisal may include coaching, training, in class support, mentoring, structured observations, visits to other classes or schools or discussions with advisory teachers that will contribute to addressing the specific identified concerns.

Headteachers should set a reasonable time for any agreed additional support to be effective and for the defined improvement on that additional support plan to be achieved (success criteria). The focussed support plan should be provided for a period of six working weeks with short step success criteria to help ensure that the teacher makes the required progress within this period. The duration may be extended for a further 2-3 weeks depending on the circumstances and progress made at the end of this period. The teacher should be provided with regular written feedback during this support period on progress and the support arrangements should be modified where necessary. It is intended that the additional support programme will enable the teacher to make the required progress and where this is the case the teacher will be informed and the appraisal process will continue as normal. The final review of the focussed support plan will need to decide whether progress made is sustained and embedded or whether the capability procedures should commence. The overall aim is to ensure that the appraisee is supported to get back on track to address any performance concerns and to meet the annual appraisal objectives.

If no or insufficient improvement has been made over the period of additional focussed support, this should be discussed with the teacher and a transition to the capability procedures considered. The teacher will be invited to a formal meeting to determine whether the appraisal process should continue or whether the capability procedure needs to commence. If the capability procedure commences the appraisal process will be suspended.

The headteacher and or the governing body should access the appropriate HR and Education Improvement Service advice at the point where the school is considering the implementation of a focussed support plan within appraisal and then again prior to a decision being made relating to the transition to the capability procedure.

23. Current Ofsted Framework and wellbeing 2024

Please note that Ofsted are due to publish the revised framework in September 2025 and inspections will not commence until at least November 2025.

The Ofsted School Inspection Handbook - September 2024 contains the current grade descriptors for all staff well-being. These are as follows:

Grade descriptors for leadership and management

Outstanding

- *Leaders ensure that highly effective and meaningful engagement takes place with staff at all levels and that issues are identified. When issues are identified, in particular about workload, they are consistently dealt with appropriately and quickly*
- *Staff consistently report high levels of support for well-being issues*

Good

- *Leaders engage with their staff and are aware and take account of the main pressures on them. They are realistic and constructive in the way they manage staff, including their workload.*
- *Leaders protect staff from bullying and harassment.*

Factors, in addition, in evaluating effective Leadership and Management:

- *the extent to which leaders take into account the workload and well-being of their staff, while also developing and strengthening the quality of the workforce*
- *the Inspectors will seek to understand how staff are supported and the steps that are being taken to remove the risk of additional workload.*

24. References

The School Recruitment and Selection Policy, Guidance and Toolkit provides guidance and information on the provision of references for employees who apply for posts in other schools. References for all employees should be honest and truthful so that they can be objectively justified if challenged either by an employee or new employer. It is important here to remind governing bodies of the School Staffing (England) (Amendment) Regulations which came into force on the 1st September 2012. This amendment requires a headteacher or a governing body of maintained schools to confirm, if asked for a reference by a prospective employer, whether or not the teacher has, within the last two years, been the subject of capability procedures. This is a legal requirement for which there is no discretion and places a statutory responsibility on the headteacher and / or the governing body to provide prospective employer with teacher references which comply with this requirement.

On receipt of such requests, headteachers must advise in writing whether or not the teacher has, in the preceding two years, been the subject of the capability procedure; and Provide written details of the nature of the concerns, the duration of the proceedings and the outcome.

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
- The School Governance (Roles, Procedures and Allowances) (England) Regulations 2013 2013 No. 1624
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*1 In terms of staff involvement of staff in headteacher appraisal "The School Governance (Roles, Procedures and Allowances) (England) Regulations 2013" apply. Schedule 1, Part 3 (page 13) is as follows:

Pecuniary interests 3.—(1) This sub-paragraph applies where a relevant person who is paid to work at a school other than as headteacher is present at a meeting of the school at which a subject of consideration is the pay or performance appraisal of any particular person employed to work at the school. (2) This sub-paragraph applies where a headteacher of a school is present at a meeting of the school at which a subject of consideration is the headteacher's own pay or performance appraisal. (3) In any case where sub-paragraph (1) or (2) applies, the relevant person's interest will be treated for the purpose of regulation 16(b) as being in conflict with the governing body's interests.

Section 16(b) says "...that person, if present at a meeting of the school at which the matter is the subject of consideration, must disclose his or her interest, withdraw from the meeting and not vote on the matter in question."

JCNP Staffing Regulations Working Party	17 September 2020
	23 September 2021
	15 September 2022
	28 September 2023
	3 October 2024
	10 July 2025
Circulated for final comments	8 September 2020
Final comments by	15 September 2020
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	September 2024
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Appendices

- Appendix 1 The Education (School Teachers' Appraisal) Regulations 2012 – Appeals' Procedure
- Appendix 2 Appraisal Meeting - Informal Focussed Support
Invitation to discuss initial performance concerns within appraisal
- Appendix 3 Appraisal Objectives Criteria
- Appendix 4 Appraisal Roles and Responsibilities
- Appendix 5 Teacher Appraisal Form *(Revised 2024)*

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

- 1.1 The arrangements for considering appraisal appeals for eligible teachers are as follows:
- Stage One – Informal
 - Stage Two – Formal Hearing
 - Stage Three – Formal Appeal
- 1.2 An eligible teacher may appeal against an entry in their appraisal document at specific points, namely:
- i. where in exceptional circumstances, it has not been possible for the appraiser and appraisee to agree objectives, the appraisee may submit a written statement with the appraisal document and if necessary may submit an appeal to the headteacher (chair of governors for headteacher), who will make a final decision; and
 - ii. if objectives are revised after moderation by the headteacher or governing body; or
 - iii. against any recommendation relating to pay made by the appraiser at the annual appraisal review meeting at the end of the appraisal cycle. Any appeal against pay progression will be heard in line with the Pay Appeals' Procedure set out in the School Pay Policy.
- 1.3 The procedure for resolving matters within 1.2 in the application of the appraisal policy has three distinct stages as set out below. Where a teacher appeals on the basis of more than one entry in the appraisal statement this will constitute one appeal and will be dealt with in one appeal hearing.

Stage One – Informal Stage

- 2.1 The appraiser prepares an appraisal document and provides it to the appraisee within 5 working days of the initial appraisal meeting. If the appraisee objects to an entry in the document relating to the objectives, comments may be added to it by the appraisee within the next 5 working days before submission to the headteacher for moderation. Simple disagreements should be capable of being resolved by discussion between the reviewer and the reviewee, without recourse to referral to the headteacher. Within 10 working days of receipt of the appraisal document the headteacher may review the document and may require the appraiser to make changes.
- 2.2 If at this stage, the headteacher requires the appraiser to make changes, then within 5 working days of this requirement, the appraiser should immediately consult again with the appraisee so that within 5 days a new appraisal document is prepared and copy provided to the appraisee. The appraisee may add any comments and within 5 working days submit this to the headteacher.
- 2.3 The appraisee may formally appeal to the headteacher against the final copy of the appraisal document if the matter cannot be resolved informally.

Review Meeting(s)

- 2.4 Where, during the course of an appraisal cycle, there is a need for the objectives to be reviewed, this should be arranged as soon as possible and within 10 working days. Where there is no agreement and the appraiser is not the headteacher, both parties should seek to informally resolve the matter with the headteacher. Where the appraisee is the headteacher and the review meeting is conducted with individual governors, both parties should seek to resolve the matter informally with a governor, nominated for appeals, who has had no prior involvement in the process.

Annual Review Meeting

- 2.5 At the end of the appraisal cycle the assessment at the annual appraisal review meeting forms the basis for recommendation for pay progression for all teachers paid on the MPR, UPR, LPR, UTR and Leadership Pay Range. Within 5 working days of the annual appraisal meeting taking place, the appraisee and appraiser should seek to informally resolve any disagreements about the results of the review and / or any recommendations on pay progression.
- 2.6 The appraisee may appeal formally at this point, if they remain dissatisfied with the outcome. Where the appeal relates to a recommendation on pay progression this should be dealt with under the Pay Appeals' Procedure as set out in the School's Pay Policy.

Stage Two – Formal Hearing

- 3.1 Where in 2.5 above it has not been possible to resolve the matter informally or where the member of staff continues to be dissatisfied, he/she is entitled to follow a formal process of appeal and set out, in writing, the reasons for questioning the application of the appraisal policy and / or the pay decision, the remedy sought and the grounds of the appeal. Any formal appeal must be submitted in line with the Pay Appeals' Procedure as set out in the School Pay Policy.
- 3.2 Following receipt of the written notification of the formal complaint, the headteacher / chair of governors will convene a Stage Two meeting to discuss the matter with all parties involved, on receipt of the formal written appeal notification as set out in the Pay Appeals Procedure as set out in the School Pay Policy.
- 3.3 In accordance with normal school procedures the hearing will provide an opportunity for the individual to make representations in person and they will be entitled to be represented by their Trade Union representative or colleague. Following the hearing the individual will be informed in writing of the decision, within three working days and where appropriate given the right of appeal.

Stage Three – Formal Appeal

- 4.1 If the individual considers that the matter has not been resolved, the employee may exercise their right to appeal against the decision at Stage 2.
- 4.2 The appeal must be submitted in writing to the headteacher within 5 working days of the outcome letter, as set out in the Pay Appeals' Procedure and in the School Pay Policy. The written appeal must reaffirm the grounds of the appeal and the remedy(ies) sought.

- 4.3 In accordance with the Pay Appeals' Procedure, as set out in the School's Pay Policy, the appeal will be heard by a panel of 3 Governors.

Appendix 2 – Appraisal Meeting - Informal Focussed Support

Invitation to discuss initial performance concerns within appraisal

(Note - Where there are concerns about any aspects of the teacher's / headteacher's performance the appraiser / appraisal governors should arrange a meeting with the teacher / headteacher to discuss and agree the support plan required. The wording below is a sample template letter.)

(Name of School) Appraisal Process
Meeting to discuss an appraisal support
Date / Time of meeting

Further to our discussions, I am writing to invite you to an interim appraisal meeting to discuss the performance concerns which have been identified so that the school can put in place appropriate focused support plan for you. A summary of the issues identified are as follows : (complete below)

- a)
- b)

The meeting will provide an opportunity for me to do the following:

- provide clear feedback to you about the nature and seriousness of the concerns;
- provide an opportunity for you to comment and further discuss the performance concerns and the specific short-term objectives identified for improvement (with associated milestone success criteria). It may be appropriate to revise your appraisal objectives. This discussion will also provide an opportunity to discuss any factors impacting on your performance such as any medical conditions well-being or support needs or disabilities.;
- to agree the additional and bespoke focused support required within appraisal (eg coaching, mentoring, structured observations); that will be provided to help you address those specific concerns so that this period of support can be successful;
- agree the timescale for improvement and make clear how, with whom and when (dates of interim feedback meetings) progress will be reviewed with you over the 6 week focused support plan period *(at least every two weeks)*;
- set out the level of improvement required discuss and set a timescale for improvement, ongoing and final review. *(Note – the period of time for improvement should reflect the seriousness of the concerns)*; and
- explain the implications of no or insufficient, including the fact that insufficient improvement within the timescale may result in transition to the capability procedures.

I hope that this will be a helpful and supportive discussion resulting in an agreement and a plan to enable the school to work together with you in a supportive and collaborative way so that you can take the necessary steps to resolve these performance concerns.

Yours sincerely

Headteacher / Name of Appraiser

Cc HR Business Partner

(The letter will need to be followed up with a summary letter setting out all of the above and the dates for the review meetings and final review)

Appendix 3

Appraisal Objectives Criteria

This document forms part of the Nottinghamshire Appraisal Policy and schools should use this as a guide in setting appraisal objectives for all teachers, including the headteacher. Please note that the Appraisal Policy, Guidance and toolkit Document provides more guidance in paragraphs 9.1-9.3 and 10.1-10.10. Schools should re-examine these documents annually.

This document has been updated for September 2024 and is intended to enable schools to;

- Meet the requirements of the current School Teachers' Pay and Conditions Document (STPCD) and the current OFSTED Education Inspection Framework.
- To meet the requirements of the Appraisal Regulations 2012, and ensure that appraisers, teachers, headteachers and appraisal governors have reference to a framework for the setting of consistent appraisal objectives.

It provides;

- Key principles/flowchart and forms part of the appraisal documentation to be given to all teachers at the start of the appraisal cycle or on appointment to the school
- Impact criteria to be used as a framework, as part of the appraisal process, considering the school's context to judge the degree of impact of meeting the Teachers' Standards. Schools, should agree the application of specific criteria in their own school context (e.g. to take account of the effects of small cohort/class size or stage of development of pupils).

It is based on the following key principles, that;

- Appraisal is securely embedded within school practice, including arrangements to take account of absence, planned or otherwise, of either the appraiser or appraisee
- The Appraisal Objectives Criteria provides a framework for establishing consistent appraisal objectives and success criteria to support an on-going professional dialogue about the impact and effectiveness of a teacher's work. Appraisal recognises that the professional development of all teachers is the most significant factor to improve the quality of teaching to raise educational standards.
- Appraisal is an intrinsically supportive process and the level of support provided to enable teachers to meet their appraisal objectives is expected to diminish as teachers gain experience and develop in their professional practice.
- The Appraisal Regulations 2012 require the school to make a recommendation on pay (Appraisal Regulation 7 (6) (c)).
- The STPCD sets out that all teachers must have completed a minimum of 26 weeks reckonable service in the preceding academic year to qualify for consideration of pay progression on 1st September.
- Appraisal objectives set should be school specific, related to the school context, the cohort and any groups, so that each teacher understands what is meant by "expected gains". Appraisal objectives should be challenging and expected progress of children should be agreed at the first appraisal meeting, taking into account children's starting points and contexts. (This may take test and assessment data from the school's systems into account, but appraisal targets should not be phrased as a specific % to meet/not meet and consideration should be given to updated DFE Guidance in accordance with the Making Data Work report.) Appraisal objectives and discussions should not be based on teacher generated data and predictions or solely on the assessment data for a single group of pupils. Numerical targets should not be set if it is beyond the teachers control to achieve them.
- Separate criteria are applicable to ECT's after completing their induction year.

- Careful planning and discussion is required within the context of appraisal to support and develop the professional competencies required of teachers preparing to move to the Upper Pay Range so that they can demonstrate that they meet and post progression, continue to meet the statutory UPR criteria to achieve pay progression.
- The setting of appraisal objectives must be non-discriminatory and be monitored using Appendix 9 in the Pay Policy
- There is an expectation that all teachers, evidenced and supported by the appraisal process, will continue to improve their effectiveness and where continued consistent performance is good should progress by one increment annually towards the maximum of the MPR (biannually for UPR), unless serious performance concerns are identified requiring focussed support within appraisal or they are subject to the capability procedures in which case pay progression will be withheld. (For an ECT - personalised support plan during the induction period)
- Where a teacher's performance is less than good, the appraisal process will supportively address any concerns through focussed support within appraisal..
- Appraisal evidence will be proportionate and readily available from day to day practice.

In setting Appraisal Objectives, the following should be taken into account in 2025/26

1. Headteacher Appraisal – see Headteacher Appraisal Statement (updated for 2024) and available to schools purchasing NCC EIS Associate Adviser Support)

Headteacher Appraisal should also be used as an opportunity to discuss :

1. *Matters in and outside of work, which have implications for the safeguarding of children in the workplace with a view to safeguarding employee and pupil welfare. (11.5 Appraisal Policy).*
2. *Ensure that robust child protection procedures and safer working practices are securely in place. (10.4 Appraisal Policy). As a minimum, Appraisal governors should seek evidence from the headteacher that the following have been completed or currently under review as appropriate and that a review date, agreed with the governing body has been set:*
 - a) *The HR Service Safer Working Pre Ofsted-Checklist for Schools September 2025 (completed in preparation for ofsted) and,*
 - b) *The current NCC and NSCP Safeguarding Children in Education: Self-audit tool*

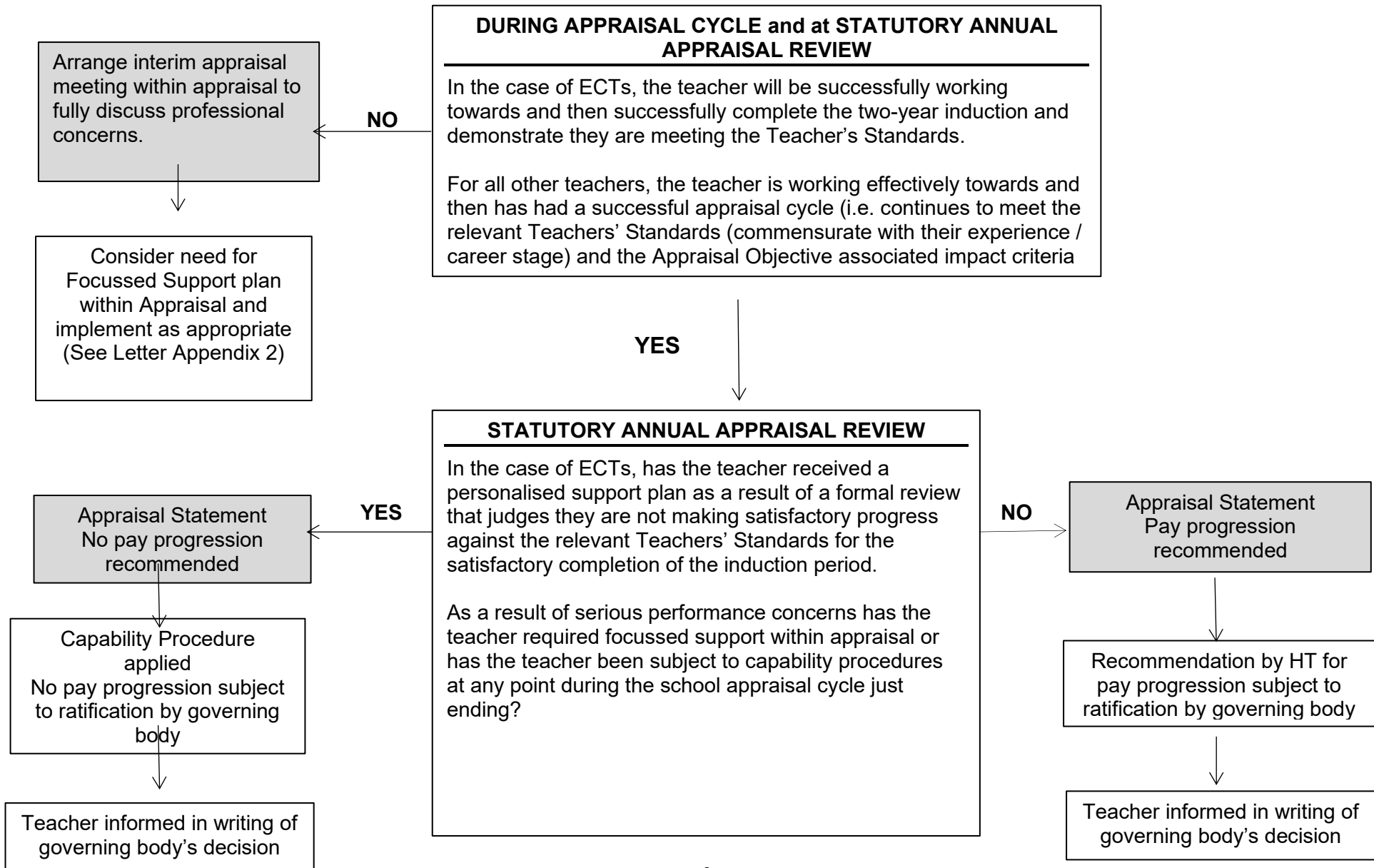
.Senior leader with child protection and/or safer working responsibilities:

Appraisal should be used as an opportunity to ensure that robust child protection procedures and safer working practices are securely in place. (10.4 Appraisal Policy).

2. Appraisal for all other Staff:

1. Appraisal should be an opportunity to discuss matters in and outside of work, which have implications for the safeguarding of children in the workplace with a view to safeguarding employee and pupil welfare. (Para 11.5 Appraisal Policy); and to discuss the contribution that all staff are making to their own well-being and that of other staff. Any issues raised by staff about workload or well-being should be managed and staff supported appropriately and quickly (Appraisal Policy 10.6)
2. Workload Reduction Taskforce – Initial recommendations and Making Data Work Making data work Advisory Group
In response to the above report the DfE have stated the following:
objectives and success criteria should not **solely** be based on assessment data for a single group of pupils and should not be based on teacher generated attainment or progress data, or automatically generated predictions.
3. It should be noted that objectives and success criteria should take account of pupils' progress from their starting points.
4. The objectives set for all teachers will should take account of Appraisal Policy 10.4 (a),(b) and (c),and if achieved, contribute to:
 - (a) Improving 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 (Appraisal Reg 6/5 (a) and (b))

Appraisal / Capability *2 Flow Chart



APPRAISAL OBJECTIVES CRITERIA - DFE Guidance state that the **headteachers' standards 2020** set out how headteachers meet the high expectations required to ensure their leadership provides high quality teaching and achievement in schools and inform performance management. The **Teachers' Standards** (latest terminology Dec 2021) set a clear baseline of expectations for the professional practice and conduct of teachers and define the minimum level of practice expected of all teachers in England. They should be used by headteachers and others to improve practice and standards of teaching and assess performance against them. The School Teachers' Pay and Conditions Document (STPCD) and the School Pay Policy specify the criteria to be met for an application by a teacher to the **Upper Pay Range** to be successful. The following criteria should be applied in conjunction with the Teachers' Standards, within the context of the school (e.g. the effect of small cohort/class sizes or the stage of development of pupils).

Teachers' standards Part One: Teaching	ECT	Main Pay Range (All Teachers required to meet the Teacher's Standards)	Upper Pay Range (All Teachers are required to consistently meet requirements of the UPR Progression Criteria)
Impact on Pupil's Learning and Progress (Taking into account a range of evidence including: lesson observation, work analysis and validated tracking data)			
1. Set high expectations which inspire, motivate and challenge pupils	Application of the Early Careers Framework Criteria in all aspects of the Teachers' Standards	Teaching is consistently at the required level Works consistently within the Teachers' Standards	Teaching is consistently at the required standard or above over time. Is proactive in driving whole school developments in teaching and learning with rigour and demonstrates impact. Works consistently within the Teachers' Standards and continues to demonstrate meets the statutory UPR Standards post progression.
2. Promote good progress and outcomes by pupils 3. Demonstrate good subject and curriculum knowledge 4. Plan and teach well - structured lessons 5. Adapt teaching to respond to the strengths and needs of all pupils		Typically, all pupils make expected gains in learning taking account of pupils' starting points at the end of the previous school year; last key stage and the extent to which pupils need to make accelerated progress within the year. <i>(Schools will need to define "expected gains in learning" for individual teachers and what accelerated progress is required for each pupil, based on the individual pupil's starting points at the beginning of the key stage and the year and the make-up of the class)</i>	Typically, all pupils make at least expected progress in learning taking account of pupils' starting points at the end of the previous school year; last key stage and the extent to which pupils need to make accelerated progress within the year. Advise others, in school, in a range of subjects so that children can learn in a variety of ways including independently and offer advice to others Advise and support others in establishing a safe and stimulating environment for pupils, rooted in mutual respect. Seek opportunities to share their impact with governors, senior leaders and other stakeholders Ensure feedback is tight and focused and leads to progress and improvements in learning To support, coach or mentor other staff to improve outcomes for pupils Pupils are challenged and inspired by teachers' secure subject knowledge and consistently applied expertise. Contribute to the professional development of colleagues through coaching and mentoring, demonstrating effective practice, and providing advice and feedback. <i>(Schools will need to define "good progress in learning" for individual teachers and what accelerated progress is required for each pupil, based on the individual</i>

6. Make accurate and productive use of assessment			<i>pupil's starting points at the beginning of the key stage and the year and the make-up of the class)</i>
Support to teacher	Provided through ECT Induction programme	Provided through appraisal at the level required to meet objectives criteria and the requirements of the role. Any additional support is expected to diminish as teachers develop professionally through experience	Provided through appraisal at the level required to meet appraisal objectives criteria and the requirements of the role. Any additional support requirements expected to be limited or not required at all to evidence continued meeting of UPR standards and for post threshold progression
Impact on pupils' behaviour and safety <i>(Taking into account a range of evidence including lesson observations and pupil voice)</i>			
7. Manage behaviour effectively to ensure a good and safe learning environment		Teachers consistently implement the school's expectations of behaviour and safety so that nearly all pupils respond positively. Demonstrates that there are systems in place to support improvements in pupils' behaviour for individuals or groups. Where standards of behaviour are already good or better, they are maintained.	Teachers consistently implement the school's expectations of behaviour and safety so that nearly all pupils respond positively. Demonstrates that there are systems in place to support improvements in pupils' behaviour for individuals or groups Demonstrates that where standards of behaviour are already good or better, they have been maintained. Demonstrates to other teachers/support staff how to select and use approaches that support children with challenging individual needs.
		Typically, nearly all pupils exhibit well developed learning behaviours that support their own and others' learning that fulfil the Teachers' Standards	Typically, nearly all pupils exhibit well developed learning behaviours that support their own and others' learning that fulfil the Teachers' Standards. Act as an excellent role model for teaching and learning and behaviour, leading to improved practice across the school Contribute to the leadership of behaviour for learning through coaching, engaging in policy development, evaluating impact.

8. Fulfil wider professional responsibilities		Typically, nearly all pupils (taking into account developmental stage) are able to, for example, • reflect on their own learning • distinguish between right and wrong • work with others and respect the values and beliefs of others • identify questions to answer & problems to resolve/solve • seek out challenges and show flexibility when priorities change and think creatively, generating and exploring ideas	Typically, nearly all pupils (taking into account developmental stage) are able to, for example, • reflect on their own learning • distinguish between right and wrong • work with others and respect the values and beliefs of others • identify questions to answer & problems to resolve/solve • seek out challenges and show flexibility when priorities change • think creatively, generating and exploring ideas Effective contribution to staff induction Promotes collective responsibility for implementing policy and practice at all times Demonstrates active role in whole school improvement and strategic development
Impact on the effectiveness of other teachers and support staff			
8. Fulfil wider professional responsibilities		Contribute to improved practice of self and other teachers and support staff <i>Work Scrutiny/Learning Walks/Lesson Observations etc).</i> Effective deployment of teaching assistants and adults other than teachers (AOTTs) <i>Work Scrutiny/Learning Walks/Lesson Observations etc).</i> Lead a regular contribution beyond the classroom adding to the ethos of the	Make a substantial and sustained contribution to improved practice of other teachers and support staff across the school, for example by coaching, mentoring and demonstrating best practice to others to improve their practice. <i>Work Scrutiny/Learning Walks/Lesson Observations etc).</i> Add to the ethos of the school by leading a substantial and sustained contribution to the wider life of school & developing contributions of others. Demonstrates sustained impact through contribution to wider life of school Demonstrate leadership in wider school issues developing the ethos of the school e.g. working in the wider community, clubs, choir, performances, marketing events, charity events, fundraising, training and professional development of teaching assistants.

		school (<i>documentation e.g. extra-curricular/leading staff meetings etc.</i>).	
Wider contribution to the work of the school			
All Teachers' Standards		Appraisal objectives and Teachers' standards are met at the appropriate career stage making use of the staged exemplification of teacher standards (Appendix 3 of the Appraisal toolkit) (<i>Appraisal documentation</i>)	Appraisal objectives and Teachers' standards are met at the appropriate upper pay range career stage making use of the staged exemplification of teacher standards (Appendix 3 of the Appraisal toolkit) (<i>Appraisal documentation</i>) Demonstrates sustained practice which meets the requirements of the statutory UPR threshold criteria. Analyse and use curriculum subject data, proactively to identify strengths, issues and actions and uses this information effectively. Demonstrates ability to research and evaluate innovative curricular practices effectively and draw on research outcomes and other sources of external evidence to inform improvement in their own practice and that of colleagues.
Specific elements of practice			
Professional Conduct	• Demonstrate consistently high standards of personal and professional conduct as set out in Part Two of the Teachers' Standards, the current versions of KCSiE, the School Employee Code of Conduct and related school policies. • All teachers conduct themselves in a way that focuses on the wider vision of the school– acting in a way to support the whole school as well as individual class/subject area a whole school approach. Follows school policies and behaves with integrity and openness at all times. • Demonstrate a proactive attitude to continuing professional development and participate actively and collegiately. • Demonstrate a willingness and ability to develop effective practice and implement identified school improvements		

Serious performance concerns		
Incremental Progression	No	A Teacher not working to the required performance standard over the appraisal period receiving either: a) Focussed support plan within appraisal; OR b) subject to the capability procedure should not be considered for incremental performance related pay progression on the 1st September in any year unless the following applies: <u>a) Formal targeted support plan within appraisal</u> - a teacher in receipt of focussed support within appraisal may be entitled to be considered for pay progression where the support plan has ended and the teacher has subsequently demonstrated good

		performance at the required standard for a sustained continuous period of at least 26 calendar weeks preceding the relevant 1st September pay decision date which confirms the performance concerns have been resolved. <u>b) Support within capability</u> - a teacher subject to the school's capability procedure may be entitled to be considered for pay progression where the capability procedure has ended, and the teacher has subsequently demonstrated good performance at the required standard for a sustained continuous period of at least 26 calendar weeks preceding the relevant 1st September pay decision date which confirms the performance concerns have been resolved.
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Document ends (AW)

School Appraisal Policy – Roles and Responsibilities

1. Appraisee should:

- Be familiar with the relevant national standards for their post
- Complete an annual self-evaluation (best-fit) against the relevant standards
- Use the self-evaluation against the relevant standards and other relevant evidence to identify areas for possible appraisal objectives and success criteria
- Engage in CPD, agreed as part of the appraisal process in line with the PD standard and guidance
- Take the lead role in the preparation for meetings and collation of evidence to demonstrate the extent to which the appraisee is on track to meet the appraisal objectives (success criteria)/ has met the objectives at interim/ annual reviews
- Where performance concerns are identified, seek and engage in support provided by the school.

2. Appraiser should:

- Be trained and be familiar with the relevant national standards
- Use the appraisee's self-evaluation against the relevant standards and other relevant evidence to identify areas for possible appraisal objectives and success criteria based on the school appraisal policy.
- Seek to agree appraisal objectives, success criteria, actions, CPD support, monitoring and evaluation methods and dates of reviews and record on the school's agreed appraisal statement
- Ensure relevant CPD is made available in line with the schools arrangements and Standards for Professional Development Standards and Guidance 2016
- Take a lead role in recording progress, based on collated evidence and evaluate the extent to which appraisal objectives (success criteria) have been met at interim and annual reviews
- Provide honest and transparent feedback verbally and record on appraisal statement
- Offer the appraisee the opportunity to comment on the feedback and provide support
- Following annual review make a recommendation to the headteacher on pay progression, based on supporting evidence
- Ensure Appraisee understands any implication for lack of progress against the achievement of objectives and of focussed support within appraisal.
- Ensure evidence requirements minimize the impact on workload for teachers and that it is readily available from day to day practice in school
- Leaders and appraisers have "meaningful engagement" with appraisees and support employees to manage workload issues appropriately and quickly

3. Headteachers should ensure:

- All appraisers and appraisees have been trained/briefed for their role
- Staff are consulted on the appraisal process and the **Appraisal Objectives Criteria – Appendix 3** and other supporting documentation used by the school
- All staff have been consulted on appropriate policies (appraisal, pay and capability) and that these policies (and those updated) have been adopted by the Governing Body.
- Consistency in the level of challenge of objectives and success criteria for teachers on the same pay band and with equivalent levels of responsibility, by carrying out moderation / quality assurance in line with the school's appraisal policy
- Ensure that the appraisal process sets objectives set for all teachers in line with policy paragraph 9.3 (a), (b) and (c), including so "That objectives, if achieved, contribute to (a) improving the education of pupils at that school' (paragraph 9.3 (2) in the Appraisal Policy) and (b) improving the effective the school's plans for improving its educational provision
- That the Standards for Professional Development Standards and Guidance 2016 are met in line with the guidance
- They act as final arbiter on appeals regarding objectives
- The appraisal policy is reviewed each year and provide anonymised report to the Governing Body for equalities purposes (appendix 9 Pay Policy)
- Use the outcome of the annual appraisal reviews to make recommendations to the governors' pay committee on pay progression, (suggested format based on annual report format **Appendix 8 – school pay policy**)
- Ensure that leaders and appraisers understand the need to have "meaningful engagement" with appraisees and support employees to manage workload and wellbeing issues appropriately and quickly
- Ensure appraisal evidence requirements minimize the impact on workload for teachers and line managers / school leaders and that it is readily available from day to day practice in school
- Staff Wellbeing issues are addressed

4. Governors should ensure:

- The pay and appraisal policies and associated toolkits have been considered by the relevant committee and have completed the appropriate policy Governing Body Decision planner, so that it meets the needs of the school where indicated in the Nottinghamshire Policy and Guidance
- Pay scales are set in line with current advice from HR as set out in the current School Pay Policy
- A date is set to receive an annual report on appraisal from the headteacher, to review whether the appraisal policy has been implemented appropriately
- The appropriate body receives a of recommendations for pay progression from the headteacher.
- The annual report is used to ensure that objectives are set in line with Appraisal Policy paragraph 9.3 (a), (b) and (c) and "That objectives, if achieved, contribute to (a) improving the education of pupils at that school' (paragraph 9.3 (2) in the Appraisal Policy) and (b) improving the effective the school's plans for improving its educational provision"
- Consider appeals on appraisal and pay as set out in each policy

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Appendix 5 – Example Appraisal Pro-forma

Teacher Appraisal Form

(This template appraisal form is intended to provide a basis for recording the appraisal meetings/ discussions held throughout the annual appraisal cycle. Please complete all but the shaded area. If performance concerns emerge and further interim meetings are required, they should be recorded in Section 6)

SECTION 1: General information

Name of the School		Appraisal Year	
Name of Appraisee		Appraisee's Employee Number	
Appraisee's Post title		Appraisee's Career Point	☐ MPR ☐ UPR ☐ TLR ☐ LP ☐ Leadership: AHT/DHT/HT
Name of Appraiser		Appraiser's Post Title	

SECTION 2: Signature and Agreement

Appraisal Objective discussion meeting	Date of the meeting:	
Appraisee's comments: I agree that this is an accurate record of the appraisal objective setting. <i>(Please add any other comments below.)</i>	Date:	
Appraiser's comments:	Date:	
Appraiser's signature:		
In-Year Review (Spring Term)	Date of the meeting:	
Appraisee's comments: I agree that this is an accurate record of the outcomes of the appraisal review. <i>(Please add any other comments below.)</i>	Date:	
Appraiser's comments:	Date:	
Appraiser's signature:		
End of Appraisal Cycle Review (Summer Term / Autumn Term)	Date of the meeting:	
Appraisee's comments: I agree that this is an accurate record of the outcomes of the appraisal review. <i>(Please add any other comments below.)</i>	Date:	
Appraiser's comments:	Date:	
Appraiser's signature:		

SECTION 3: Objectives setting and review

Objective 1: <i>(Insert the objective wordings here)</i>		
Exemplar Teacher's Objective: 1. Whole School Objective: An objective to focus on improving the education of pupils which could be a whole school/team objective linked to appropriate school/Team improvement plans. 2. Class based Objective: An objective to improve educational provision and performance with the aim of ensuring that the quality of teaching is at least good – which will contribute to improving/sustaining outcomes for all pupils, including those with SEND, disadvantages pupils and other vulnerable groups attending the school. 3. Personal Development Objective: An objective to help build the teacher's capacity and expertise – which may link to the teacher's standards, their career stage or leadership responsibility.		
Appraisal Objective Setting Discussion (Summer Term / Autumn Term)	In-Year Review (Spring Term)	End of Appraisal Cycle Review (Summer Term / Autumn Term)
Actions agreed:	Progress to date & evidence: <i>(If insufficient progress has been made, arrange additional interim appraisal meetings to consider additional support / CPD requirement. This may include incorporating a focused support plan within the appraisal.)</i>	Extent to which appraisal objective success criteria have been met under this objective with evidence: <i>(Against success criteria set)</i>
Success criteria – Improvements in provision and outcome:		
CPD support agreed: <i>(What/When/Who)</i>	Summary of CPD support progress:	Final Summary of CPD support accessed/provided:
Monitoring and evaluation method / Evidence / Timeline:	Summary of progress / further actions:	Final Summary of monitoring and evaluation outcomes:

Appendix 5 – Example Appraisal Pro-forma

Objective 2: <i>(Insert the objective wordings here)</i>		
Exemplar Teacher's Objective: 1. Whole School Objective: An objective to focus on improving the education of pupils which could be a whole school/team objective linked to appropriate school/Team improvement plans. 2. Class based Objective: An objective to improve educational provision and performance with the aim of ensuring that the quality of teaching is at least good – which will contribute to improving/sustaining outcomes for all pupils, including those with SEND, disadvantages pupils and other vulnerable groups attending the school. 3. Personal Development Objective: An objective to help build the teacher's capacity and expertise – which may link to the teacher's standards, their career stage or leadership responsibility.		
Appraisal Objective Setting Discussion (Summer Term / Autumn Term)	In-Year Review (Spring Term)	Appraisal Objective Setting Discussion (Summer Term / Autumn Term)
Actions agreed:	Progress to date & evidence: <i>(If insufficient progress has been made, arrange additional interim appraisal meetings to consider additional support / CPD requirement. This may include incorporating a focused support plan within the appraisal.)</i>	Extent to which appraisal objective success criteria have been met under this objective with evidence: <i>(Against success criteria set)</i>
Success criteria – Improvements in provision and outcome:		
CPD support agreed: (What/When/Who)	Summary of CPD support progress:	Final Summary of CPD support accessed/provided:
Monitoring and evaluation method / Evidence / Timeline:	Summary of progress / further actions:	Final Summary of monitoring and evaluation outcomes:

Appendix 5 – Example Appraisal Pro-forma

Objective 3: <i>(Insert the objective wordings here)</i>		
Exemplar Teacher's Objective: 1. Whole School Objective: An objective to focus on improving the education of pupils which could be a whole school/team objective linked to appropriate school/Team improvement plans. 2. Class based Objective: An objective to improve educational provision and performance with the aim of ensuring that the quality of teaching is at least good – which will contribute to improving/sustaining outcomes for all pupils, including those with SEND, disadvantages pupils and other vulnerable groups attending the school. 3. Personal Development Objective: An objective to help build the teacher's capacity and expertise – which may link to the teacher's standards, their career stage or leadership responsibility.		
Appraisal Objective Setting Discussion (Summer Term / Autumn Term)	In-Year Review (Spring Term)	Appraisal Objective Setting Discussion (Summer Term / Autumn Term)
Actions agreed:	Progress to date & evidence: <i>(If insufficient progress has been made, arrange additional interim appraisal meetings to consider additional support / CPD requirement. This may include incorporating a focused support plan within the appraisal.)</i>	Extent to which appraisal objective success criteria have been met under this objective with evidence: <i>(Against success criteria set)</i>
Success criteria – Improvements in provision and outcome:		
CPD support agreed: <i>(What/When/Who)</i>	Summary of CPD support progress:	Final Summary of CPD support accessed/provided:
Monitoring and evaluation method / Evidence / Timeline:	Summary of progress / further actions:	Final Summary of monitoring and evaluation outcomes:

1. Senior leader with child protection and/or safer working responsibilities: (Appraisal should be used as an opportunity to ensure that robust child protection procedures and safer working practices are securely in place. (11.5 Appraisal Policy).
2. Appraisal for all other Staff: (Appraisal should be an opportunity to discuss matters in and outside of work, which have implications for the safeguarding of children in the workplace with a view to safeguarding employee and pupil welfare (11.5 Appraisal Policy) and staff well-being in line with the school's well-being policy)
3. Other areas as identified.

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Appendix 5 – Example Appraisal Pro-forma

SECTION 5: Teacher Pay Progression

Decision on Teacher Pay Progression: <i>(The Appraisal Regulation 2012 continue to require a recommendation on pay at the end of the appraisal cycle)</i>		
Appraiser's recommendation on Pay Progression: The appraisee is eligible for pay progression on the main/upper pay/leadership spine. Based on the evidence available at the End of Appraisal Cycle Review of overall performance for 202_ /202_ , I recommend / do not recommend pay progression.		
Current pay grade:	Current incremental point:	Proposed incremental point:
Signature and acknowledgement:		
Appraisee's name (In block letter):		Date:
Appraisee's Signature:		
Appraiser's name (In block letter):		Date:
Appraiser's Signature:		

SECTION 6: Additional interim appraisal meetings *(Optional where performance concerns emerge.)*

Date of Meeting:			
Action Agreed:	Success Criteria:	CPD Support Agreed:	Outcome:
Appraisee's Name and Signature:		Appraiser's Name and Signature:	