

# Teachers Appraisal Policy

September 1

# 2015

Produced by School Improvement Team/Personnel Team –  
Schools. August 2015

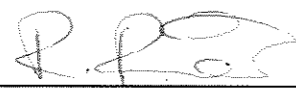
**Sefton Council** 

School:

Thomas

Signed Chair of Governors:

A. P. Taylor

 HEADTEACHER

Date:

5/12/17

05.12.17

## Contents

- 1 Purpose
- 2 Application of the Policy

### Part A:

- 3.1 Appraisal
- 3.2 Appraisal Period
- 3.3 Appointment of Appraisers
- 3.4 Objective setting
- 3.5 Reviewing performance
- 3.6 Development and Support
- 3.7 Feedback
- 3.8 Teachers Experiencing Difficulties
- 3.9 Transition to Capability
- 3.10 Annual Assessment
- 3.11 Confidentiality
- 3.12 Equality and Consistency
- 3.13 Retention of Statements
- 3.14 Appeals
- 3.15 General Principles Underlying the Policy

Appendix A: The National Standards

Appendix B: National Standards – Career Stage Expectations

Appendix C: Procedure for Conducting National Standards Audits

Appendix D: Observation of Teaching and Leadership Practice

Appendix E: Provision of Additional Support Where National Standards Are Not Met

## **Policy for appraising teacher performance**

In formulating its policy, the Governing Body has taken account of the principles set out in the Introduction to the national model policy and retained all text originally in bold from the main body of the model policy itself. This policy closely follows the guidance issued by Sefton Council which takes account of trade union model policies and has been subject to consultation.

**The Governing Body of Thomas Gray Primary School**

**adopted this policy on**

**The Governing Body will review this policy annually.**

### **1 Purpose**

This policy sets out the framework for a clear and consistent assessment of the overall performance of teachers, including the head teacher, and for supporting their development within the context of the school's plan for improving educational provision and performance, including pupil progress, and the standards expected of teachers. It also sets out the arrangements that will apply when teachers fall below the levels of competence that are expected of them.

### **2 Application of the Policy**

- 2.1 The policy covers appraisal, applies to the head teacher and to all teachers employed by the school, except those on contracts of less than one term, those undergoing induction (i.e. NQTs) and those who are subject to the school's capability policy.
- 2.2 Throughout this policy, unless indicated otherwise, all references to 'teacher' include the head teacher.

### **3.1 Teacher Appraisal**

- 3.1.1 Appraisal in this school will be a supportive and developmental process designed to ensure that all teachers have the skills and support they need to carry out their role effectively. It will help to ensure that teachers are able to continue to improve their professional practice and to develop as teachers, and consistently meet the professional standards expected of them.

## **3.2 The Appraisal Period**

- 3.2.1 The appraisal period will run for twelve months from 1 September to 31 August
- 3.2.2 The annual audit against national standards will be completed no later than the end of September following each appraisal period and the review of progress towards achieving specific performance objectives will also be completed by this time.
- 3.2.3 Teachers who are employed on a fixed term contract of less than one year will have their performance managed in accordance with the principles underpinning this policy. The length of the period will be determined by the duration of their contract. When teachers join the staff of the school part way through the year their appraisal period will be determined by the length of the remaining portion of the year which they serve. If this is less than one term they will not be appraised against pupil performance targets but they may be appraised against the relevant standards. Such teachers will be part of the normal appraisal cycle the following school year.

When a teacher transfers to a new post within the school during the school year it will be for the head teacher to decide whether any changes are made to objectives or any other appraisal arrangements for that year.

## **3.3 Appointing Appraisers**

- 3.3.1 The head teacher will be appraised by the Governing Body, supported by a suitably skilled and/or experienced external adviser who has been appointed by the Governing Body for that purpose.
- 3.3.2 In this school the task of appraising the head teacher, including the setting of objectives, will be delegated to a sub-group consisting of three members of the Governing Body.
- 3.3.3 The head teacher will have the right to appeal against the choice of governor(s) identified as their appraiser(s) and/or the choice of external adviser, on grounds of unsuitability. Such an appeal must be made in writing to the appeals committee stating the reasons for the request for change.
- 3.3.4 The head teacher will decide who will appraise other teachers. In this school, this will normally be one of the following:
- The head teacher
  - A member of the senior leadership team
  - The teacher with a clear line management overview of a teacher's work
  - A teacher(s) specifically identified to undertake appraisal of other teachers in the school (normally this will be a teacher with management responsibility)

All appraisers will be qualified teachers with current or recent teaching experience.

3.3.5 Where teachers have an objection to the head teacher's choice of appraiser they may express their concerns to the head teacher and these concerns will be carefully considered.

3.3.6 If an appraiser is absent from school for sufficient time to impact upon the effective performance of the appraisal process the head teacher will make suitable arrangements to enable the process to continue properly.

### **3.4 Setting Objectives**

3.4.1 The Governing Body will be responsible for the appraisal of the head teacher and will identify a sub-group of three governors to discharge this responsibility (see 3.3.1). The head teacher's objectives will be set by the sub group of the Governing Body after consultation with the head teacher and the external adviser. Objectives will be focused on key school priorities and take account of the relevant head teacher standards.

3.4.2 Objectives for each teacher, including the head teacher, will be set before or as soon as practicable after, the start of each appraisal period. The objectives set for each teacher will be linked to the relevant standards, will be Specific, Measurable, Achievable, Realistic and Time-bound and will be appropriate to the teacher's role and level of experience. Both appraiser and appraisee will clearly understand what the success criteria will be. The appraiser and teacher will seek to agree the objectives but, if that is not possible, the head teacher will determine the objectives, and the teacher may record their comments in writing as an appendix to the appraisal statement. Objectives may be revised if circumstances change.

3.4.3 The objectives set for each teacher, including the head 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 and be reflected in pupil progress. This link will be made:

- by ensuring that the pupil progress objective(s) (all teachers) address the key attainment priorities identified by the school improvement plan
- by ensuring that any professional development objective (all teachers) addresses the key development priorities identified by the annual audit against teacher standards (see Appendices A and B) and/or any concerns about progress being made towards achieving pupil progress objectives
- by ensuring that any leadership and management objective (all teachers with paid leadership responsibilities) addresses the key development priority identified by study of the leader's effectiveness, with reference to any relevant leadership standards, in addressing key school improvement plan priorities. Where no national standards currently exist (e.g. for Assistant and Deputy Heads), the head teacher will identify appropriate standards for these roles by reference to the draft national standards produced by NCSL, or other such appropriate body.

3.4.4 Under normal circumstances teachers will have a maximum of 3 objectives (normally two pupil progress objectives and one CPD objective). Teachers with leadership responsibilities may have a leadership objective in place of one of those

maintaining the total as 3. However, teachers who are found not to be meeting standards at the appropriate level for their career stage (Appendix B) by the annual standards audit (Appendices A and B) may be given additional short-term objectives, as part of a supportive action plan, to ensure that the most appropriate support can be provided. Teachers will be expected to show significant progress against the standards between each career stage defined in Appendix B.

3.4.5 Before, or as soon as practicable after, the start of each appraisal period, each teacher will be informed of the standards against which that teacher's performance in that appraisal period will be assessed. All teachers will be assessed against the set of standards contained in the document called "Teachers' Standards" published in July 2011, their job descriptions and any specific objectives, e.g. pupil progress objectives, identified at the planning stage. Assessments will also be conducted against other standards relevant to the teacher including:

- National Standards for Subject Leaders (1998)
- Excellent Teacher Standards
- Advanced Skills Teacher Standards
- SENCO standards
- (Draft National Standards for School Leaders.(NCSL)
- School Leadership Standards

Post-threshold standards are reflected in the career stage expectations (Appendix B)

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

3.4.7 If the appraisee, including the head teacher, objects to the outcomes of their appraisal in terms of anything written in their appraisal report, or any pay recommendation, they may appeal to the Governing Body under the existing procedures.

### **3.5 Reviewing Performance**

3.5.1 Classroom Observation will form an important part of appraisal and will be conducted in a supportive fashion, with professionalism, integrity and courtesy. The evaluation of lessons will be objective, fair and accurate and will take account of any particular circumstances that affect performance on that day. Classroom observation for appraisal purposes will only be conducted by qualified teachers.

3.5.2 For the purposes of appraisal classroom observation will take place on an appropriate and reasonable number of occasions and will, as far as possible, be

agreed by the appraiser with the appraisee based on the individual circumstances of the teacher and the overall needs of the school. The number and duration of appraisal observations will be in accordance with the school's observation protocol (Appendix D), which includes provision for exceptional circumstances where concerns have been raised about a teacher's performance, or where a teacher requests additional observation visits.

- 3.5.3 Head teachers or other leaders with responsibility for learning and teaching standards may 'drop in' or undertake other observations to evaluate the standards of teaching and learning and to ensure that high standards of professional performance are established and maintained. The length and frequency of 'drop in' or other observations and the notice to be given, will vary depending upon specific circumstances but will be in accordance with the school's classroom observation protocol. (Appendix D).
- 3.5.4 Feedback from observation and any other form of evidence gathering will include developmental advice and not simply be judgemental.
- 3.5.5 Scrutiny of pupils' work will form part of the appraisal process and will be conducted by the appraiser with feedback to the appraisee in order to ensure that school marking/assessment policy is being followed and to enable the quality of pupils' work and their progress to be assessed.
- 3.5.6 Teachers, including the head teacher, with responsibilities outside the classroom, should expect to have their performance of those responsibilities observed and assessed.
- 3.5.7 The school will use information collected from each observation, including appraisal observations, for other leadership and management requirements thereby seeking to minimise disruption and reduce bureaucracy.
- 3.5.8 Detailed arrangements for the observation of classroom and leadership practice, 'drop ins' and other evidence gathering are set out in Appendix D, the observation protocol.

### **3.6 Development and Support**

- 3.6.1 Appraisal is a supportive process which will be used to inform continuing professional development. The school wishes to encourage a culture in which all teachers take responsibility for improving their teaching through appropriate professional development. Professional development will be linked to school improvement priorities and to the ongoing professional development needs and priorities of individual teachers, including their own aspirations, as detailed in section 3.4. CPD which is identified as essential to enable the appraisee to meet their objectives will be prioritised in budget terms. The provision of CPD in support of the appraisal process will be mentioned in the head teacher's annual report on appraisal to the governing body. If CPD is requested or recommended and not provided, this will be noted in the annual review statement or planning statement for the individual teacher concerned.

### **3.7 Feedback**

3.7.1 Teachers will receive constructive feedback on their performance throughout the year by termly interim appraisal review meetings and as soon as practicable after observation has taken place or other evidence has been gathered. Feedback will include discussion with the teacher, will highlight particular areas of strength as well as any areas that need attention and will determine any appropriate support or other action required. Feedback will be developmental not simply judgemental. Appraisers will seek to offer advice about how aspects of performance may be supported towards improvement, especially by CPD including peer support.

### **3.8 Teachers Experiencing Difficulties**

3.8.1 When dealing with a teacher experiencing difficulties, the objective is to provide support and guidance through the appraisal process in such a way that the teacher's performance improves and the problem is, therefore, resolved.

3.8.2 Where, following the audit against teacher standards or during the review cycle due to problems with pupil progress, or due to parental complaint there are concerns about any aspects of the teacher's performance which are not responding to the guidance and support provided by the appraisal process, these will be addressed via the procedure set out in Appendix E (Provision of Additional Support Where National Standards Are Not Met – (National Standards Support Programme)

3.8.3 The purpose of the National Standards Support Programme is to focus support on addressing specific concerns about teacher performance identified as explained in 3.8.1. When the decision is made to transfer a teacher to this support programme they will be informed by the head teacher or member of the leadership team who will :

1. give clear written feedback to the teacher about the nature and seriousness of the concerns
2. give the teacher the opportunity to comment on and discuss the concerns
3. give the teacher at least 5 working days notice that a meeting will be held to discuss an action plan which will include details of support and targets for improvement
4. explain that if concerns about professional performance continue they could lead to capability procedures and because of that they should be accompanied at the meeting (point 3 above) by a friend, who may be a trade union representative or workplace colleague

3.8.4 If the appraiser is satisfied that the teacher has made, or is making, sufficient improvement during the National Standards Support Programme, the teacher will be informed at a formal meeting with the head teacher, their representative from the leadership team, or the appraiser, that capability procedures are unlikely to be



required and that the appraisal process will continue as normal, with any remaining issues continuing to be addressed through that process.

### **3.9 Transition to Capability**

3.9.1 If, even after appraisee has been offered additional support including through the National Standards Support Programme (Appendix E), no or insufficient progress has been made, the teacher will be invited to a transition meeting, with at least 5 days notice, where it will be determined whether formal capability proceedings need to be commenced or the appraisal process remains in place. The teacher may be assisted by a trade union representative or work colleague at this meeting.

### **3.10 Annual Assessment**

3.10.1 Each teacher's performance will be formally assessed in respect of each appraisal period. In assessing the performance of the head teacher, the Governing Body will consult the external adviser as referred to in clause 3.3.1.

3.10.2 This assessment is the end point to the annual appraisal process, but performance and development priorities will be reviewed and addressed on a regular basis throughout the year by means of:

- Lesson observations
- Planning and work scrutiny
- Reports to parents
- Relevant pupil progress data
- Termly and/or any other interim review meetings with appraiser
- Observation / scrutiny of leadership and management activities where appropriate
- Other feedback obtained during the appraisal cycle relevant to the teacher's overall performance.

3.10.3 Within two months of the end of each appraisal period, the teacher will receive – and have the opportunity to comment in writing on – a written appraisal report. In this school, teachers, including the head teacher, will receive their written appraisal reports no later than 31 October. The appraisal report will include:

- details of the teacher's objectives for the appraisal period in question;
- an assessment of the teacher's performance of their role and responsibilities against their objectives and the relevant standards;
- an assessment of the teacher's training and development needs and identification of any action that should be taken to address them;
- a recommendation on pay where that is relevant.

This report will be presented and discussed at the annual review meeting which will also serve as the starting point for the next cycle.

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

3.10.5 Any recommendations on pay will be referred to the head teacher before being referred on to the Governing Body.

3.10.6 For appeals see 3.4.7

### **3.11 Confidentiality**

3.11.1 Access to the written appraisal report will normally be limited to the appraisee, the appraiser, the head teacher and / or nominated member of the senior management team, but with the agreement of the appraisee, information relating to CPD requirements may be shared with the school CPD coordinator.

### **3.12 Equality and Consistency**

3.12.1 As outlined in paragraph 3.4.6 above, the head teacher will have overall responsibility for the quality assurance of the appraisal process across the school. This will include ensuring the consistency and equality of application of the process throughout the school. The head teacher may delegate responsibility for monitoring consistency and equality of application to a teacher member of the senior management team.

3.12.2 The head teacher will be responsible for reporting annually to the governing body on any relevant issues, including those of underperformance, the provision of support including CPD, and any resourcing problems arising from the annual review cycle and on any action required to address those issues. The report will enable governors to receive an overall general report of the process but will not include specific details relating to individual members of staff.

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

### **3.13 Retention of Statements**

3.13.1 The Governing Body and head teacher will ensure that all written appraisal records are retained in a secure place for six years and then destroyed.

### **3.14 Appeals**

3.14.1 Appraisees have a right of appeal against any of the entries in the written appraisal report. Details of the appeals process are available from the head teacher or from the school governing body. Where the head teacher has not been recommended for pay progression he/she will be informed by the appropriate governor. The head

teacher will notify any teacher who has not been recommended for pay progression of the date when the governing body meets to consider pay recommendations, following which the teacher (and head teacher when the head has not been recommended for pay progression) may exercise the right of appeal, assisted by a companion who may be a colleague, a trade union official or a trade union representative.

### **3.15 General Principles Underlying This Policy**

#### **3.15.1 ACAS Code of Practice on Disciplinary and Grievance Procedures**

The conduct of the formal capability stage will be undertaken in accordance with the provisions of the ACAS Code of Practice.

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

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

#### **3.15.3 Sickness**

If long term sickness absence appears to have been triggered by the commencement of monitoring or a formal capability procedure, the case will be dealt with in accordance with the school's absence policy and will normally be referred to the occupational health service to assess the member of staff's health and fitness for continued employment and the appropriateness or otherwise of continuing with monitoring or formal procedures. In some cases it may be appropriate for formal procedures to continue during a period of sickness absence. However, the views of the occupational health physician will always be taken into account before a decision is reached.

#### **3.15.4 Grievances**

Where a member of staff raises a grievance during the appraisal or capability process, the appraisal or capability process may be temporarily suspended in order to deal with the grievance. Where the grievance and appraisal or capability cases are related it may be appropriate to deal with both issues concurrently.

#### **3.15.5 Confidentiality and Professional Relationships**

The appraisal and capability processes will be treated with confidentiality. Only the appraiser's line manager or, where s/he had more than one, each of her/his line managers will be provided with access to the appraisee's plan recorded in her/his statements. This will be done upon request and only where this is necessary to enable the line manager to discharge her/his line management responsibilities. Appraisees will be consulted on requests for access to statements in the context of this policy.

The process of gathering evidence for performance review will not compromise normal professional relationships between teachers. The governing body recognises that the reviewer will consult with, and seek to secure the agreement of, the reviewee before seeking information from other colleagues about the work of the reviewee.

However, the desire for confidentiality does not override the need for the head teacher and governing body to quality-assure the operation and effectiveness of the appraisal system. The head teacher or appropriate colleague might, for example, review all teachers' objectives and written appraisal records personally – to check consistency of approach and expectation between different appraisers. The head teacher might also wish to be aware of any pay recommendations that have been made.

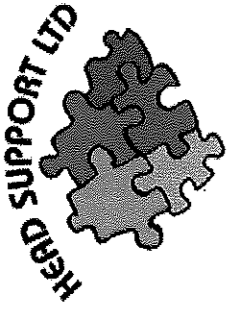
### **3.15.6 Monitoring and Evaluation**

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

The head teacher will provide the governing body with a written report on the operation of the school's/academy's appraisal and capability policies annually. The report will not identify any individual by name. The report will include an assessment of the impact of these policies on:

- Race
- Sex
- Sexual Orientation
- Disability
- Religion and Beliefs
- Age
- Part-time Status
- Maternity and Pregnancy

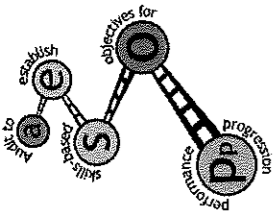
The head teacher will report on whether there have been any appeals or representations on an individual or collective basis on the grounds of alleged discrimination.



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**CONFIDENTIAL**

**TEACHERS' STANDARDS AUDIT  
AND PROFESSIONAL DEVELOPMENT OBJECTIVE PLANNER**



NAME..... PAY POINT..... DATE.....

Standard	+*	*_*
1.1. Set high expectations which inspire, motivate and challenge pupils 1. Establish a safe and stimulating environment for pupils, rooted in mutual respect 2. Set goals that stretch and challenge pupils of all backgrounds, abilities and dispositions 3. Demonstrate consistently the positive attitudes, values and behaviour which are expected of pupils		
1.2. Promote good progress and outcomes by pupils 1. Be accountable for pupils' attainment, progress and outcomes 2. Plan teaching to build on pupils' capabilities and prior knowledge 3. Guide pupils to reflect on the progress they have made and their emerging needs 4. Demonstrate knowledge and understanding of how pupils learn and how this impacts on teaching 5. Encourage pupils to take a responsible and conscientious attitude to their own work and study		
1.3. Demonstrate good subject and curriculum knowledge 1. Have a secure knowledge of the relevant subject(s) and curriculum areas, foster and maintain pupils' interest in the subject and address misunderstandings 2. Demonstrate a critical understanding of developments in the subject and curriculum areas, and promote the value of scholarship		

\*+ area where you may be able to help others; - area where you may need help from others

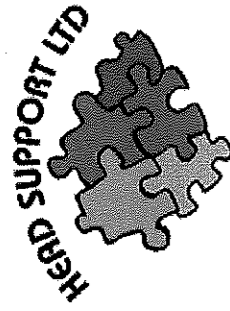
Standard	+	
<p><b>1.3 (cont'd)</b></p> <ol style="list-style-type: none"> <li>3. Demonstrate an understanding of and take responsibility for promoting high standards of literacy, articulation and the correct use of standard English, whatever the teacher's specialist subject</li> <li>4. If teaching early reading, demonstrate a clear understanding of systematic synthetic phonics</li> <li>5. If teaching early mathematics, demonstrate a clear understanding of appropriate teaching strategies</li> </ol> <p><b>1.4. Plan and teach well structured lessons</b></p> <ol style="list-style-type: none"> <li>1. Impart knowledge and develop understanding through effective use of lesson time</li> <li>2. Promote a love of learning and children's intellectual curiosity</li> <li>3. Set homework and plan out-of-class activities to consolidate and extend the knowledge and understanding pupils have acquired</li> <li>4. Reflect systematically on the effectiveness of lessons and approaches to teaching</li> <li>5. Contribute to the design and provision of an engaging curriculum within the relevant subject area(s)</li> </ol>		
<p><b>1.5. Adapt teaching to respond to the strengths and needs of all pupils</b></p> <ol style="list-style-type: none"> <li>1. Know when and how to differentiate appropriately, using approaches which enable pupils to be taught effectively</li> <li>2. Have a secure understanding of how a range of factors can inhibit pupils' ability to learn and how best to overcome these</li> <li>3. Demonstrate an awareness of the physical, social and intellectual development of children, and know how to adapt teaching to support pupils' education at different stages of development</li> <li>4. Have a clear understanding of the needs of all pupils, including those with special educational needs; those with high ability; those with English as an additional language; those with disabilities; and be able to use and evaluate distinctive teaching approaches to engage and support them</li> </ol>		

\*+ area where you may be able to help others; - area where you may need help from others  
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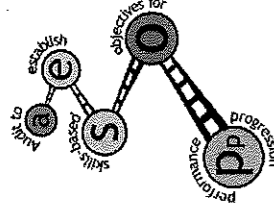
Standard	+	-
<p><b>1.6 Make accurate and productive use of assessment</b></p> <ol style="list-style-type: none"> <li>1. Know and understand how to assess the relevant subject and curriculum areas, including statutory assessment requirements</li> <li>2. Make use of formative and summative assessment to secure pupils' progress</li> <li>3. Use relevant data to monitor progress, set targets, and plan subsequent lessons</li> <li>4. Give pupils regular feedback, both orally and through accurate marking, and encourage pupils to respond to the feedback</li> </ol>		
<p><b>1.7 Manage behaviour effectively to ensure a good and safe learning environment</b></p> <ol style="list-style-type: none"> <li>1. Have clear rules and routines for behaviour in classrooms, and take responsibility for promoting good and courteous behaviour both in classrooms and around the school, in accordance with the school's behaviour policy</li> <li>2. Have high expectations of behaviour, and establish a framework for discipline with a range of strategies, using praise, sanctions and rewards consistently and fairly</li> <li>3. Manage classes effectively, using approaches which are appropriate to pupils' needs in order to involve and motivate them</li> <li>4. Maintain good relationships with pupils, exercise appropriate authority and act decisively where necessary</li> </ol>		
<p><b>1.8 Fulfil wider professional responsibilities</b></p> <ol style="list-style-type: none"> <li>1. Make a positive contribution to the wider life and ethos of the school</li> <li>2. Develop effective professional relationships with colleagues, knowing how and when to draw on advice and specialist support</li> <li>3. Deploy support staff effectively</li> <li>4. Take responsibility for improving teaching through appropriate professional development, responding to advice and feedback from colleagues</li> <li>5. Communicate effectively with parents with regard to pupils' achievements and well-being</li> </ol>		

\*+ area where you may be able to help others; - area where you may need help from others

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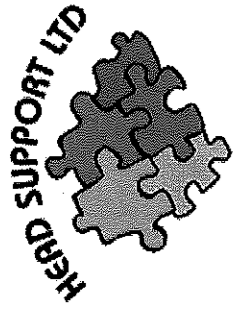


<p><b>Part 2 Personal and Professional Conduct</b> The following statements define the behaviour and attitudes which set the required standard for conduct throughout a teacher's career</p>	+**	-**
<p>2.1. Teachers uphold public trust in the profession and maintain high standards of ethics and behaviour, within and outside school, by:</p> <ol style="list-style-type: none"> <li>1. Treating pupils with dignity, building relationships rooted in mutual respect, and at all times observing proper boundaries appropriate to a teacher's professional position</li> <li>2. Having regard to the need to safeguard pupils' well-being, in accordance with statutory provisions</li> <li>3. Showing tolerance of and respect for the rights of others</li> <li>4. Not undermining fundamental British values, including democracy, the rule of law, individual liberty and mutual respect, and tolerance of those with different faiths and beliefs</li> <li>5. Ensuring that personal beliefs are not expressed in ways which exploit pupils' vulnerability or might lead them to break the law</li> </ol> <p>2.2 Teachers must have a proper and professional regard for the ethos, policies and practice of the school in which they teach, and maintain high standards in their own attendance and punctuality</p> <p>2.3 Teachers must have an understanding of, and always act within, the statutory frameworks which set out their professional duties and responsibilities</p>	+**	-**
<p><b>Preamble</b></p> <ul style="list-style-type: none"> <li>• Teachers make the education of their pupils their first concern, and are accountable for achieving the highest possible standards in work and conduct. Teachers act with honesty and integrity; have strong subject knowledge; keep their knowledge and skills as teachers up-to-date and are self-critical; forge positive professional relationships; and work with parents in the best interests of their pupils</li> </ul>	+**	-**

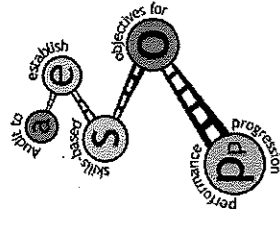
\*\* + performance in line with expectations - performance may be below expectations

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----- SCHOOL  
**NATIONAL STANDARDS AUDIT  
 INITIAL ASSESSMENT**

Confidential

Name Professional Area	Relevant Standards	Self/School Assessment				Page 1 Standards For Professional Dialogue
		Pay Point M2	Date M4	M6	UPS 1 UPS 3	
<b>PROFESSIONAL PRACTICE</b>	1.1(1);1.2(2,3,5) 1.3 (1,3) 1.4(1,2,3) 1.5 all 1.6 (1) 1.7 (1,2,3) 1.8 (3) 2.1 (2,4) Preamble					
<b>PROFESSIONAL OUTCOMES</b>	1.1(2) 1.2(1,2,3) 1.5(1) 1.6 (3,4) Preamble					
<b>PROFESSIONAL RELATIONSHIPS</b>	1.1(1) 1.6(4) 1.7(4) 1.8(2,3,5) 2.1 (1,3,4) Preamble					
<b>PROFESSIONAL DEVELOPMENT</b>	1.2(4,5) 1.3(1,2,4,5) 1.4(5) 1.5(2,3,4) 1.6(1) 1.8(4) 2.1(2) 2.3 Preamble					
<b>PROFESSIONAL CONDUCT</b>	1.1(3) 1.7(1) 1.8(1) 2.1(all) 2.2 2.3 Preamble					

+ Performance may exceed career stage expectations - Performance may be below career stage expectations  
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## Appendix C – Procedure for Conducting National Standards Audits

- C1 The aim of the annual audit against national standards, as required by the regulations, will be to identify – through professional dialogue - the standards which represent the most appropriate areas for professional development for individual teachers in the forthcoming appraisal cycle. Wherever possible, these audits will take place in the Summer Term, so that the most helpful professional development performance management objectives can be identified – and any necessary arrangements made – in good time for the new school year.
- C2 The 2012 Appraisal Regulations [Para 6 (a)] require head teachers “to inform the teacher of the standards against which the teacher’s performance in that appraisal period will be assessed” It follows from this that the school needs to adopt a fair and evidence-based procedure for deciding whether or not standards are met. The head teacher has a key role to play in ensuring that judgments are consistent across the school.
- C3 The key stages of the procedure are as follows:
- Time will be provided for teachers to conduct a self-audit against the National Standards (Preamble, Part 1 and Part 2) at the level indicated by the agreed career stage expectations set out in Appendix B
  - Each teacher’s appraiser paired with the head teacher/appropriate senior leadership team member will complete the audit in exactly the same way. Wherever this pair indicates that performance may not be at the level required, it will need to be in a position to back this up by reference either to written evidence previously shared with the teacher suggesting a standard is not met or to a lack of evidence allowing a judgment to be made that it is
  - The audits will then be exchanged. At least a week will be allowed for the teacher to assemble any necessary evidence
  - Teacher and appraiser will then attend a 45 minute Professional Dialogue meeting. The aim of the meeting will be to agree the standards against which the teacher’s performance will be assessed in the next appraisal cycle. Where the initial audit (or examination of evidence at the Professional Dialogue meeting) results in agreement that all relevant standards are met, the teacher will be free to identify the national standard against which he or she would like to be assessed by means of the professional development objective. Where the initial audit (or examination of evidence at the Professional Dialogue meeting) results in agreement that particular standards are not met, these standards will become those against which the teacher’s performance will be assessed in the next appraisal cycle
  - Where teacher and appraiser cannot reach agreement on whether or not a standard is met, the matter will be referred to the head teacher, who will meet with the teacher, consider all available evidence, and inform the teacher of his or her decision
  - A teacher dissatisfied with the head teacher’s decision will have the right of appeal to governors under existing procedures.

## **Appendix D – Observation of Teaching and Leadership Practice – School Protocol**

**Paragraph headings and completed notes indicate points schools may wish to consider when reviewing their current protocol**

### **D1 Formal Lesson Observations.**

D1.1 Teachers, under normal appraisal circumstances 3 lesson observations in the course of the appraisal cycle,

D1.2

D1.3

### **D2 Other Leadership Visits to Lessons including 'drop ins'**

D2.1 There will be other occasions in the school year when those with leadership responsibilities are present in lessons.

D2.2 If any aspect of classroom practice seen during leadership visits gives cause for concern, the teacher will be informed so that, if necessary, further investigation may be undertaken or additional lesson observations arranged. If this further investigation leads to a decision that a national standard is not met at the appropriate career stage, the special support arrangements set out in Appendix E will apply.

D2.3

### **D3 Formal Observation of Leadership and Management Practice**

D3.1 Leaders and those with responsibility for aspects of whole school performance will have up to 3 leadership observations in the course of the appraisal cycle.

### **D4 Scrutiny of pupils' work**

D4.1

### **D5 Gathering other evidence**

D5.1

**Appendix E: Provision of Additional Support Where National Standards Are Not Met  
– (National Standards Support Programme)**

E1 Where teachers experience difficulties in meeting national standards at the appropriate career stage, a special programme of support known as the National Standards Support Programme may be undertaken at the discretion of the head teacher. When this situation becomes apparent in the course of an appraisal cycle and leads the head to conclude that national standards are not being met at the appropriate career stage expectation level and the formal support programme is appropriate, these new arrangements, including a change of reviewer, will come into force as soon as possible after the decision has been made. Arrangements will include:

- The appointment of an appraiser from the senior leadership team
- The definition of an appropriate action plan, with support, which will include relevant improvement objectives and show how progress will be monitored and reviewed.
- Support which may take the form of: coaching, mentoring, training, in-class support, structured observations, peer support, observation of other classes, focus visits to other schools, support from advisors)

E2 If the head teacher identifies through the appraisal process, or via other sources of information, for example parental complaints, that the difficulties experienced by a teacher are such that, if not rectified, they could lead to capability procedures the appraiser, the head teacher, or a member of the leadership team, will, as part of the appraisal process meet the teacher to:

- give clear written feedback to the teacher about the nature and seriousness of the concerns
- give the teacher the opportunity to comment on and discuss the concerns
- give the teacher at least 5 working days' notice that a meeting will be held to discuss targets for improvement alongside a programme of support, and inform the teacher that he/she has the right to be assisted by a representative of an independent trade union or work place colleague, and at any future meetings where capability will be discussed
- in consultation with the teacher at the above meeting, an action plan that will help address those specific concerns with support (for example coaching, training, in-class support, mentoring, structured observations, visits to other classes or schools or discussions with advisory teachers), will be established
- make clear how progress will be monitored and when it will be reviewed
- explain the implications and process if no, or insufficient improvement is made.

E3 The teacher's progress will continue to be monitored as part of the National Standards Support Programme, and a reasonable time given for the teacher's performance to improve. This will depend upon the circumstances, but will normally be for a period of 5 weeks, with appropriate support as agreed in the Action Plan, in order that the aim of recovering and improving performance can be achieved. During this monitoring period the teacher will be given regular feedback on progress and arrangements will be made to modify the support programme if appropriate. At the end of the period one of the following decisions will be made by the head teacher on the basis of progress

- To end the support programme and resume normal appraisal arrangements
- To continue to provide support within an action plan which may involve setting further short-term objectives
- To suspend appraisal and move immediately into the school's capability procedure

E4 Normal appraisal procedures will only be resumed if there is no longer a possibility of capability procedures being invoked during that appraisal cycle.

E5 Where a decision to end the support programme has been taken but performance drops again within 12 months, the teacher will move immediately back into the revised appraisal arrangements outlined above. In exceptional circumstances the head teacher may decide to move straight to the school's capability procedure at this stage

E6 If no, or insufficient, improvement has been made over this period, the teacher will be invited to a transition meeting to determine whether formal capability proceedings need to be commenced or the appraisal process remains in place. The teacher may be assisted by a trade union representative or work colleague and will have at least 5 working days notice of the meeting.