



Teachers Appraisal Policy

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1.0 Government policy

- 1.1 Appraisal arrangements for schools are set out in the Education (School Teachers' Appraisal) (England) Regulations 2012 (the Appraisal Regulations).

The Department for Education have produced an Appraisal guidance document for schools which can be located at [Teacher Appraisal - guidance for schools](#)

- 1.2 In addition to requiring schools to appraise teachers in accordance with specified standards and set objectives the **Regulations state that governing bodies "must adopt and make available to teachers employed at the school a document which sets out the appraisal process for such teachers."** There is no requirement for schools to have a separate policy in addition to a process document, as the policy has been set by the Government, but schools are recommended to adopt a policy on how they implement the Regulations, as the way in which they do so is an expression of their ethos and affects the professional development of teachers.

Reducing unnecessary workload should be at the forefront of any considerations around implementing appraisal processes

Maintained schools and local authorities must stay within the legal framework set out in the Appraisal Regulations, and all schools (including academies) must adhere to any other relevant legislation that affects all employers (for example legislation on equality, employment protection and data protection).

- 1.3 Birmingham's guidance to schools is set out in this document which includes a recommended model policy statement and appraisal process.

Local authority model policy and process

- 1.4 The Birmingham local authority is commending its own model policy and process to schools in the city – including academies and free schools who purchase the authority's HR services - to be used in the context of the following information and guidance on the Regulations. The model policy statement and appraisal process are appended.

The Regulations – principal requirements

- 1.5 The 2012 Appraisal Regulations state that the head teacher **must**
- "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. With the exception of those who are qualified teachers by virtue of holding and maintaining Qualified Teacher Learning and Skills (QTLS) status, all teachers must be assessed against the set of standards contained in the document called "Teachers' Standards" published in July 2011".
 - "For teachers who are qualified teachers by virtue of holding QTLS status, it is for the governing body or school leader to decide which standards are most appropriate".

- “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”.
 - “Each teacher’s performance will be assessed in respect of each appraisal period. In assessing the performance of the headteacher, the governing body must appoint an external adviser”.
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 - “provide the teacher with a written report of the teacher’s appraisal in respect of that appraisal period”.
- 1.6 These regulatory requirements include two features – annual assessment against the relevant teachers’ standards, and an entitlement to assessment of professional development needs.
- 1.7 The definition of teacher in the Regulations covers all teachers, including unqualified teachers. The Regulations do not apply to teachers undergoing statutory induction or teachers subject to capability procedures or teachers employed for less than one school term.

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 and an individual teacher’s objectives should take account of the length of contract.”

Duty to comply with appraisal

- 1.8 The School Teachers’ Pay and Conditions Document requires all teachers to “participate in arrangements for the appraisal and review of their own performance, and, where appropriate, that of other teachers and support staff.”

Model Appraisal Policy and Procedure

The Governing Body of _____ School will ensure that the Government's Appraisal Regulations are implemented in this school in accordance with the principles set out in the following policy statement and appraisal process and having regard to the guidance issued by the local authority from time to time.

1 Purpose and commitment

- 1.1 The governing body accepts that the purpose of appraisal is to provide 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 and the standards expected of teachers.
- 1.2 The Governors are committed to ensuring high quality and supportive performance appraisal aligned to their aims and objectives for the school and linked where appropriate to other policies and procedures and their duties under equality legislation.

2 Principles

- 2.1 Appraisal in this school should be a supportive and developmental process, designed to ensure that all teachers have the skills and support they need to perform their roles and responsibilities effectively. It should help to ensure that teachers are able to continue to improve their professional practice and development.
- 2.2 Appraisal should be based on the principles of
 - clarity of expectation
 - fairness and reasonableness
 - consistency
 - balance
 - enablement including supportive development
 - confidentiality
- 2.3 Teachers must know what is expected of them in order to support the school improvement plan as well as to benefit from the appraisal process.
- 2.4 The methods of assessment against standards and objectives should be fair, thorough and non-discriminatory. A variety of methods should be used and discussed with teachers in the school.
- 2.5 To ensure consistency any teacher to whom the appraisal of other teachers is delegated should be suitably prepared to discharge that responsibility, not only through knowledge of the appraisal regulations and process but also with the appropriate skills and confidence, whether by training within the school or by a suitable external organisation. Appraisers should be qualified teachers with relevant experience.
- 2.6 Consistency and balance should also be achieved by appropriate moderation and monitoring for quality assurance. The head teacher should report to the governing body annually on the appraisal process.

- 2.7 An assessment of a teacher's professional development needs, and any action which should be taken to address them, should be an integral part of the assessment and used to enable teachers to achieve their professional potential.
- 2.8 The records of each teacher's appraisal will be confidential. The use of information from appraisal reports to monitor fairness, inform the planning of professional development, ensure overall quality and report to the governing body should not compromise individual confidentiality.
- 2.9 If it becomes apparent during or at the end of the appraisal period that the teacher's overall performance is below accepted standards the head teacher should address the situation **without delay**, as described in the appraisal process, with a thorough assessment of the apparent deficiencies and possible causes (including any personal circumstances) and implement any necessary support. There should be a clear explanation to the teacher of what will happen if the necessary improvement does not take place.
- 2.10 Where a teacher starts their employment at the school part-way through a cycle, the head teacher, or the governing body (if the head teacher is being appraised) shall determine the length of the first cycle for that teacher, with a view to bringing their cycle in line with the cycle for the other teachers as soon as possible.
- 2.11 Where a teacher transfers to a new post within the school part-way through a cycle, the head teacher/governing body will determine whether the cycle shall begin again and/or whether to change the appraiser.
- 2.14 Objectives may be revised if circumstances change, such as a teacher starting maternity leave, or undergoing surgery/medical treatment, to take account of the anticipated absence and to allow the teacher to meet reduced and attainable targets.
- 2.15 At the start of each academic year, employees will be encouraged to consider, with their line managers, the professional and personal development they require to undertake their role and discuss the contribution they will make to support [Name of school/college/trust]'s improvement/development plan.
- 2.16 Appraisal is a supportive process which will be used to inform continuing professional development. It is intended to encourage professional dialogue between colleagues. [Name of school/college/trust] wishes to encourage a culture in which all teachers take responsibility for improving their teaching through appropriate professional development, peer observation, coaching, mentoring, collaboration, and care to perform at their best and to maintain a healthy work-life balance. Professional development will be linked to [Name of school/college/trust]'s improvement priorities and to the on-going professional development needs and priorities of individual teachers.
- 2.17 [Name of school/college/trust]'s CPD programme will be informed by the training and development needs identified as part of the appraisal process and will include unconscious bias training for appraisers. The Governing Body will ensure in the budget planning that, as far as possible, resources are made available in the school budget for appropriate training, and support agreed for appraisees, maintaining access on an equitable basis.

Appraisal Process

The Governing Body has adopted the following process for implementing the Appraisal Regulations in this school.

Publication of the process

- 1.1 The Head Teacher will be responsible for publishing this process to all teachers in the school, together with the Teachers' Standards and any other standards to be used in accordance with the Appraisal Regulations. The Head Teacher will also be responsible for ensuring that the appraisal process is sent to each teacher newly appointed to the school.

Committee for appraising the head teacher

- 1.2 The Governing Body will appoint a committee to appraise the head teacher and delegate to this committee the responsibility to appoint an external adviser for the purposes of providing it with advice and support in relation to the appraisal of the head teacher. It will expect the committee to choose an adviser who is suitably skilled and experienced, ideally someone who has leadership experience in a school in the same phase but is not personally connected with the head teacher.

The appraisal period

- 1.3 The Governing Body has agreed that there will be a common twelve-month appraisal period for teachers in this school and that it will run from _____ to _____ each year.

Allocation of appraisers

- 1.4 The Head Teacher will decide to whom to delegate the role of appraiser in respect of each teacher in the school and notify that decision to both the appraiser and the teacher. If a teacher is dissatisfied with the choice of appraiser he or she should explain those concerns to the head teacher, who, if he or she considers them to be valid, will appoint an alternative appraiser. If the appraiser is unable to conduct an appraisal (for example, due to sickness), the head teacher will appoint an alternative appraiser.
- 1.5 The head teacher may make representations to the committee of the governing body if he or she has valid concerns about the choice of external adviser and the committee may then appoint a different adviser.

Preparation

- 1.6 The head teacher will ensure that each appraiser is suitably prepared in accordance with the principles set out by the governing body and will ensure that the preparation includes discussion of moderation and quality assurance. The head teacher will also ensure that all teachers understand their own responsibilities and prepare for the first

meeting, through self-reflection and evaluation of their own performance and development needs.

Meeting to start the appraisal process

- 1.7 Shortly before or after the start of the appraisal period the designated appraiser will meet with each teacher to consider objectives, the way in which those objectives are to be achieved, assessment criteria, the teacher's professional development needs and how they should be addressed. The appraiser will inform the teacher of the relevant standards against which the teacher's performance in that appraisal period will be assessed and the objectives which have been set for the teacher in respect of that period. A written statement will be provided including this information and the sources of evidence for assessment. The school may devise a form for the written statement if it wishes. The appraiser and the teacher will also agree arrangements for professional discussions during the appraisal period which may include a meeting for a review approximately midway through the appraisal process.

Collection of information and evidence

- 1.8 During the appraisal period monitoring through a range of work-related activities will be used to provide balanced information on the teacher's performance. The school's general development programme should provide sufficient evidence without the need for additional workload in producing evidence to meet appraisal targets.

Observation

- 1.9 The means of assessment will include arrangements for observation, including the amount of observation, its purpose(s), any particular aspects of the teacher's work to be assessed during observation, its expected timing and duration, and who is likely to undertake the observation. Observation will be undertaken by people who have qualified teacher status, are adequately prepared and have the appropriate professional skills. It should be explained that if at any point during the appraisal cycle it is considered that the teacher needs or the teacher seeks extra support, additional observation may be arranged. The teacher will be notified of an observation in advance of no less than five days, where reasonable and practicable.
- 1.10 The appraiser will give oral comments to the teacher as soon as possible, preferably on the day of the observation and otherwise within one working day. The appraiser will follow this with a written report, including the date and duration of the observation and the lesson or task observed, within five working days of the observation. The teacher will be given the opportunity to add written comments to each report. The head teacher may at that stage ask to see for moderation purposes the information given to each teacher and the evidence used for assessment.

Revision meeting

- 1.11 If appropriate at any time during the process a 'revision meeting' can be requested by the appraiser or the teacher and, if appropriate, objectives can be changed or adjusted.

Preparation of the appraisal report

- 1.12 At the end of the appraisal period the appraiser will meet with the teacher to prepare the appraisal report.

“The teacher will receive as soon as practicable following the end of each appraisal period an appraisal report. The appraisal report will include”:

- “an assessment of the teacher’s performance of their role and responsibilities against their objectives and the relevant standards”;
- “an assessment of the teacher’s professional development needs and identification of any action that should be taken to address them”;

1.13 The appraiser will give the teacher the appraisal report. The teacher may add comments. If there are no objections to the report the appraiser will forward it to the head teacher who will moderate the report and consider any recommendations for professional development.

Review of appraisal report

1.14 If the teacher is dissatisfied with any aspect of the appraisal report that teacher should discuss the objection(s) with the appraiser. If that discussion does not resolve the objections the teacher may submit a written request to the head teacher to review the appraisal report. In cases when the head teacher is the appraiser the teacher may submit a written request to the clerk to the governing body for the appropriate committee (depending on the governing body’s delegations) to review the appraisal report.

1.15 If the head teacher has any concerns about the appraisal report he or she will discuss it with the appraiser in the first instance. The head teacher will then decide whether any action is needed about the quality of the report or the performance of the teacher.

Performance below acceptable standards

1.16 From time to time, a teacher may experience performance issues at work for a variety of reasons. If this happens, the aim should be to identify the root cause and provide them with appropriate training, support, and development opportunities through the appraisal process to help improve the teacher’s performance and resolve the issues.

Where it is apparent that a teacher’s personal circumstances are leading to difficulties at school, support will be offered as soon as possible, without waiting for the formal annual assessment.

If an appraiser identifies through the appraisal process, that the teacher is experiencing difficulties which require additional support, the appraiser will meet the teacher to:

- Give clear feedback on the issue and seek to establish its causes;
- discuss how [Name of school/college/trust] can help to resolve the issue;
- give the teacher the opportunity to comment on and discuss the concerns;
- mutually agree a programme of support which could include, for example, coaching, training, in-class support, mentoring, structured observations, visits to other classes or schools or discussions with advisory teachers, that will help address those specific concerns (NB: the programme of additional support will be provided for 6 weeks, however, if performance improves

and the issue is resolved before then, the appraisal process should then continue as normal);

- agree how progress will be monitored; and
- explain the implications if insufficient improvement is made.

Teachers will be given at least five working days' notice of the meeting to discuss additional support and be entitled to be accompanied by a trade union representative or workplace colleague. Teachers will be informed of the nature of the concerns prior to the meeting. A written note of the meeting including concerns discussed and agreed actions will be shared with the teacher within five working days of the meeting taking place.

During this monitoring period of additional support, the teacher will be given regular feedback on progress and arrangements will be made to modify the support programme if appropriate.

If 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 five working days' notice of the meeting.

Confidentiality and confidential storage

- 1.17 The appraisal process will be treated with confidentiality - only the appraiser's line manager(s) will be provided with access to the appraisee's plan recorded in their statements. This will be done upon request and only where this is necessary to enable the line manager to discharge their 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.

Once appropriate actions have been taken on professional development the head teacher will arrange for confidential storage of the report for a period of six years.

Head teacher's report to governing body

- 1.18 The head teacher will use the information in the appraisal reports, with due regard to confidentiality, to prepare the annual report on appraisal for the governing body.

Guidance to Schools

1 Preparation for implementation

- 1.1 Head teachers are recommended to involve teachers when preparing their advice to the governing body on the appraisal process for their school.

2 Consistency, clarity and fairness in practice

- 2.1 Schools should ensure that the whole process is fair, thorough and non-discriminatory.
- 2.2 For a fair process, teachers must be told clearly what is expected of them. This prevents mistaken assumptions.
- 2.3 Head teachers should ensure that any teacher to whom the appraisal of other teachers is delegated is suitably prepared to discharge that responsibility, not only through knowledge of the appraisal regulations and process but also with the appropriate skills and confidence, whether by training within the school or by a suitable external organisation. Appraisers should be qualified teachers with relevant experience. Arrangements should take account of the provision in the School Teachers' Pay and Conditions Document that "A teacher with leadership and management responsibilities is entitled, so far as is reasonably practicable, to a reasonable amount of time during school sessions for the purpose of discharging those responsibilities."

3 Balanced assessment

- 3.1 The regulatory requirements for appraisal are far fewer than for the old performance management regulations. They make no reference to classroom observations or other methods of assessment; these are left to schools to determine as part of the process for the school. The model policies produced by the Department for Education and teachers' associations concentrate on classroom observation, whereas Birmingham has consistently and repeatedly advised that methods of assessment should draw on a variety of evidence. The Appraisal Regulations specify that assessment should be of the teacher's role and responsibilities, which will cover extra responsibilities for which teaching and learning responsibility payments are awarded or which belong to posts on the leadership spine.
- 3.2 Teachers should be consulted on the methods of assessment in the school, including the nature of the objectives set and the way in which their performance is assessed against the relevant standards and objectives. They should feel comfortable in discussing the process and assessment with their appraiser.
- 3.3 Head teachers are advised to involve their teachers fully in discussing with them not only 'what a good job looks like' in relation to the teacher standards but also 'what a good assessment of a teacher's performance looks like' and the various ways in which the quality of teaching and learning should be assessed.
- 3.4 An assessment should be fair, consistent, and supportive and based on clear expectations described at the beginning of the appraisal period. The methods of assessment should build on the good practice already established in schools. They

should be formative and summative, relevant, proportionate, and based on strong evidence drawn from a balanced variety of sources. It is expected that schools' systems and records are accurate and strong enough to provide sufficient valid evidence to support the appraisal process and outcomes. Teachers may also gather their own evidence. The appraisal report at the end an assessment, as a summative assessment of a formative process, should never be a surprise to the teacher.

- 3.5 Assessment of teachers against the prescribed standards should relate to the absolute standards required and not to years of experience or particular pay points on the main scale. There is no basis for this in the School Teachers' Pay and Conditions Document, nor will OFSTED inspectors enquire about the stage which a teacher has reached in their career when making their own judgements about a teacher.

4 Objectives

- 4.1 Objectives should describe the essential outcomes of provision and performance required of the teacher, aligned to the current School Improvement Plan, the Teachers' Standards, and the individual teacher's job description. They should enable the teacher to focus on his or her particular contributions to overall school improvement and most urgent development needs, the addressing of which will benefit the pupils and support the teacher's career aspirations. Objectives should concentrate on pupil progress and achievement and the quality of learning and teaching. The fewer the objectives the easier it is to clarify priorities. Objectives set should be specific, measurable, achievable, realistic and time-bound, whether short-term or long-term, and appropriate to the teacher's role and responsibilities. It is essential that they should be clear and precise, setting out the aim and relating it to specified groups in the context of the school and its needs. Careful consideration should also be given to the way in which objectives are worded. For example, in order to be realistic and achievable, an objective relating to improvement of teaching skills should recognize that teachers can be asked to **enable** other teachers to achieve targets but that it is for those other teachers to respond to the strategies and support offered to them; a teacher cannot be expected to **ensure** that the other teachers achieve the targets.

Pupil data targets and/or results will not be used to assess teachers' performance or influence appraisal outcomes.

The Teachers' Standards will be used to inform the setting of the teacher's appraisal objectives and will not be used as a checklist against which the teacher's performance is assessed. Assessment against the Teachers' Standards will start from the premise that all teachers are meeting the Teachers' Standards unless clear and strong evidence is provided to the contrary.

- 4.2 "Objectives for each teacher will be set before, or as soon as practicable after, the start of each appraisal period".
- 4.3 Two examples of objectives are given below. They must be made specific according to the needs of the school development plan and the role and responsibilities of the particular teacher.

- **Class teacher** - to enable pupils in specified class/group to make the progress and meet the targets required in a specified curriculum area or subject as identified and agreed through accurate assessment of pupils
- **Class teacher** – increase his or her knowledge and understanding in a specified subject or aspect of the curriculum and apply this knowledge and understanding when teaching specified pupils

4.4 Objectives should have regard to what can reasonably be expected of that teacher consistent with the school's strategy for achieving a work/life balance for all teachers as required under the School Teachers' Pay and Conditions Document and any individual circumstances, such as a disability or part-time working, for which a reasonable adjustment should be considered. Appraisers and those being appraised should seek to agree individual objectives, with teachers having the opportunity to make written comments about their objectives. Each objective should include the sources of evidence by which achievement will be assessed; this should also have been discussed with the teacher.

4.5 Provision should be made for revision of objectives during the appraisal period should this be considered appropriate.

4.6 The headteacher objectives will be set by the governing body after consultation with the external adviser". The governing body has a duty to have regard to the work-life balance of the school leader and objectives will reflect this.

5 Observation

5.1 Observation, whether in lessons or in respect of work outside the classroom, is an important method of assessment which should be undertaken fairly and in a supportive way. It should be a confidential process of constructive engagement conducted with professionalism, integrity and courtesy, with an acknowledgement that unforeseen circumstances may from time to time affect a particular lesson or task, and resulting in a report which is objective, accurate and fair. It is recognised that in schools where performance management has been effective existing arrangements for observation have been adequate for the purposes of helping to assess teachers' performance, so the amount of lesson or task observation should not normally exceed previous levels. Between them the head teacher and the appraiser should be familiar enough with the teacher's work to be able to recognise the odd occasion when a lesson or task has not been as good as it would normally be and assure with confidence both the teacher and any inspector that the standard of the lesson or task in question was not typical. Arrangements for observation should be discussed with teachers and should be set out for them as part of the appraisal process. The arrangements for observation should be included in the appraisal process.

6 Enablement

6.1 The entitlement in the regulations to an assessment of a teacher's professional development needs and any action which should be taken to address them should be an integral part of the appraisal.

7 Confidentiality

- 7.1 Confidentiality is essential to the effective operation of the appraisal process. Where it is necessary to share information with the governing body or senior management team for purposes such as planning professional development and quality assurance data will be presented with due regard to confidentiality. Teachers should be informed of any request to see the report on their individual appraisal.

8 Teachers dissatisfied with aspects of the appraisal process or report

- 8.1 Having regard to the principle of fairness, Birmingham's model process provides that teachers dissatisfied with their appraisal report should be able to make representations about the content of the appraisal report to the head teacher. If the head teacher is the appraiser, the teacher should be able to make representations to the appropriate committee of the governing body (in accordance with the governing body's delegations).

9 Performance below acceptable standards

- 9.1 Birmingham's model appraisal process includes a section on what should happen if at any point in the appraisal period it appears that the teacher's performance is below acceptable standards.

10 Capability procedure

- 10.1 The School Staffing Regulations require governing bodies of maintained schools to establish procedures for dealing with lack of capability on the part of staff at the school.
- 10.2 Following discussions with the teachers' associations the authority recommends that an appraisal policy should be separate from capability procedures. Any school which may be considering adoption of the Government's model appraisal policy is advised to omit the paragraphs which commit the governing body to adopting the Government's model capability procedure.
- 10.3 The current model capability procedure provides for its use "if a teacher fails, on a regular basis, to perform his or her duties to an acceptable professional standard in accordance with the duties set out in the School Teachers' Pay and Conditions Document." The reference to professional standards matches the provision in the Appraisal Regulations for appraisal against the national standards.
- 10.4 In all cases of employee capability, head teachers should take early advice from their chosen employee relations provider. The City Council meets the costs of successful claims to an employment tribunal in respect of maintained schools (i.e. excluding academies and free schools), subject to the appropriate policies and procedures having been followed, the presence of a City Council representative at all stages when dismissal is under consideration and the authority's advice having been followed. Otherwise any such costs will be charged to the school's budget share.

11 Other policies and procedures

- 11.1 Part two of the teachers' standards deals with 'personal and professional conduct'. Head teachers will consider whether inappropriate personal or professional conduct can be managed informally or should be investigated as potential misconduct under the school's disciplinary procedure.