



**Schools' Personnel:
get the chemistry right**

TEACHER APPRAISAL POLICY

MODEL FOR SCHOOLS

September 2015

Adapted by the London Borough of Enfield's
Schools' Personnel Service from a model originally published by the

Department for
Education

Adopted by Hadley Wood School

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INVESTOR IN PEOPLE



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1. Introduction and General Information

Introduction

Revised appraisal arrangements were brought into effect from 1 September 2012. They are set out in the Education (School Teachers' Appraisal) (England) Regulations 2012 (the Appraisal Regulations), as amended by the Education (School Teachers) (Qualifications and Appraisal) (Miscellaneous Amendments) (England) Regulations 2012, as well as any subsequent amendments. These replaced the Education (School Teacher Performance Management) (England) Regulations 2006 (the 2006 Regulations).

The Appraisal Regulations set out the principles that apply to teachers in all maintained schools (including PRUs) and centrally-employed/unattached teachers employed by a Local Authority. The Regulations apply to all such teachers, other than those on contracts of less than one term, Newly Qualified Teachers in their induction period and teachers subject to capability procedures. They have retained the key elements of the 2006 Regulations but allow schools and Local Authorities more freedom to design arrangements to suit their own individual circumstances. They provide the minimum national framework within which Schools, PRUs and Local Authorities and their central services should operate and say nothing, or very little, on many subjects on which the 2006 Regulations made detailed provision. However, details that are no longer covered by the Appraisal Regulations may be included in individual policies.

Schools, PRUs and Local Authorities must stay within the legal framework set out in the Appraisal Regulations and in other relevant legislation that affects all employers (for example, legislation on equality, employment protection and data protection). Schools, PRUs and Local Authorities must have an appraisal policy for teachers.

From 1st September 2014, it has been a requirement of the statutory School Teachers' Pay and Conditions arrangements (as set out in the School Teachers' Pay and Conditions Document [STPCD]) that pay progression for all categories of teaching staff is linked to the appraisal process, with further progression for individual teachers on their pay range being subject to the outcomes of their appraisals, together with the specific arrangements for pay progression set out in the School's Pay Policy and in this document.

This 'Teacher Appraisal Policy' was originally based closely on the DfE model produced in May 2012 for use from 1st September that year and was adapted to reflect local arrangements and the specific requirements of the School. It has been updated further in subsequent years to include relevant changes to School Teachers' Pay and Conditions and other arrangements, as well as local policy. The Teacher Appraisal Policy should be read in conjunction with the School's Pay Policy.

A separate policy sets out the formal capability procedure and reflects the ACAS Code of Practice on disciplinary and grievance procedures. Capability procedures apply only to teachers and head teachers about whose performance there are serious concerns that the appraisal process has been unable to address.

In the Policy, note that **text in bold** indicates statutory requirements in the Appraisal Regulations or the School Staffing Regulations. Text in *italics* requires amendment to reflect the particular circumstances or needs.

Where reference is made to 'School' this applies to School.

Adoption and Review of the Teacher Appraisal Policy

This Policy was originally part of a joint model Teacher Appraisal and Capability Policy produced by the Department for Education (DfE) for use by Schools and Local Authorities in the Summer of 2012 to take effect from the 2012/13 academic year onwards.

Following adoption of the Appraisal and Capability Policy(ies), this Appraisal Policy was reviewed and adapted in the Autumn of 2013 to reflect statutory changes linking appraisal to pay for all categories of teaching staff from September 2013, to take full effect in terms of pay progression from 1st September 2014. **It has since been further adapted in the Autumn of 2014 to reflect statutory changes relating to Leadership group pay and in September 2015 in relation to the publication of DfE advice on new 'National Standards of Excellence for Headteachers'.**

It will continue to be reviewed in response to any further relevant statutory changes and/or at any other time it is considered necessary or appropriate to do so. At a minimum it will be reviewed every three years.

Purpose of the Policy

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, and the standards expected of teachers.

Application of the Policy

This 'Teacher Appraisal Policy' 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 (ie NQTs) and those who are subject to the formal 'Teacher Capability (Performance) Policy' or capability procedures on the grounds of ill-health.

2. Teacher Appraisal Policy

Appraisal within the *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.

The Appraisal Period

The appraisal period will run for twelve months from 1st November to 31st October (or state alternative period).

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.**

There is flexibility to have a longer or shorter appraisal period when teachers begin or end employment with a school or local authority or when unattached teachers change post within the same authority. In these circumstances, the *School's* intention would be to bring new appointments in line with the stated appraisal period as soon as possible. The precise timing will be for the Head teacher to determine in individual cases and is likely to depend upon the date of appointment, the pay review arrangements and/or nature of the teacher's objectives.

Appointing Appraisers

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.*

In this *School* the task of appraising the Head teacher, including the setting of objectives, will be delegated to a Panel/Committee consisting of *three (or state as appropriate)* members of the *Governing Body*.

The Head teacher will decide who will appraise other teachers. This will normally be a person with line management responsibility unless, in specific or exceptional circumstances, an alternative person is considered to be more appropriate. Any person appointed as an appraiser will have the required skills and knowledge, including Qualified Teacher Status.

Where teachers have particular concerns in relation to an allocated appraiser, their concerns will be carefully considered and, if appropriate, an alternative appraiser will be allocated. This will be at the discretion of the Head teacher.

If an appraiser is absent for the majority of the appraisal cycle, an alternative appraiser will be allocated.

Setting Objectives

The Head teacher's objectives will be set by the Governing Body after consultation with the external adviser.

Objectives for each teacher will be set before, or as soon as practicable after, the start of each appraisal period. The objectives set for each teacher, will be Specific, Measurable, Achievable, Relevant and Time-bound and will be appropriate to the teacher's role, level of experience and School Improvement Priorities. A teacher will normally have no more than three objectives other than in specific or exceptional circumstances and/or where a greater number is agreed between the two parties.

The appraiser and teacher will seek to agree the objectives but, if that is not possible, the appraiser will determine the objectives. Objectives may be revised if circumstances change. The teacher will have the right to make written comments if s/he wishes to do so.

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. This will be ensured by quality assuring all objectives against the School's improvement plan.

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, including those qualified by virtue of holding Qualified Teacher Learning and Skills (QTLS) status and membership of the Institute for Learning (IfL), will be assessed against the set of standards contained in the document called "Teachers' Standards" published in July 2011, taking into account their relevant role within the School.

The "Teachers' Standards" are attached as Appendix 1 at the end of this document.

Reviewing Performance

➤ Observation

The School believes that observation of classroom practice and other responsibilities is important both as a way of assessing teachers' performance in order to identify any particular strengths and areas for development they may have and of gaining useful information which can inform school improvement more generally. All observation will be carried out in a supportive fashion. All teachers will be made aware of any specific arrangements or protocol in place within the School.

In this School teachers' performance will be regularly observed but the amount and type of classroom observation will depend on the individual circumstances of the teacher and the overall needs of the school. Classroom observation will be carried out by those with QTS. In addition to formal observation, head teachers or other designated senior leaders with responsibility for teaching standards may "drop in" in order to evaluate the standards of teaching and to check that high standards of professional performance are established and maintained. The length and frequency of "drop in" observations will vary depending on specific circumstances. All teachers will be made aware of any specific arrangements or protocol in place within the School.

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

In relation to the above, it should be noted that the total period for observations arranged will not normally exceed 3 hours per cycle for any individual teacher. However, the *School* reserves the right to exceed this limit, as considered appropriate, in circumstances where a cause for concern has been raised with the individual. This is to allow the teacher to receive any necessary additional support required to enable him/her to have the best possible opportunity to improve, as well as to ensure that the Teachers' Standards are being met.

➤ **Development and Support**

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 on-going professional development needs and priorities of individual teachers.

➤ **Feedback**

Teachers will receive constructive feedback on their performance throughout the year and as soon as practicable after observation has taken place or other evidence has come to light. Feedback will highlight particular areas of strength as well as any areas that need attention.

Oral feedback will normally be provided within 24 hours (1 working day) with written feedback within five working days, unless the appraiser/observer and the teacher agree an alternative timescale or exceptional circumstances dictate otherwise.

Where there are concerns about any aspects of the teacher's performance the appraiser has a duty to ensure that the Head teacher is informed of the situation. The Head teacher, or a member of staff nominated by the Head teacher, will meet the teacher formally to raise a 'cause for concern'. The teacher will be allowed to be accompanied by a companion who may be a colleague, a trade union official, or a trade union representative who has been certified by their union as being competent and be given sufficient notice of the meeting (usually 5 working days). A model letter for the purpose of inviting the teacher to this initial 'cause for concern' meeting is attached as Appendix 3 at the end of this document. The meeting will:

- give clear feedback to the teacher about the nature and seriousness of the concerns;
- give the teacher the opportunity to comment and discuss the concerns;
- agree any support (e.g. coaching, mentoring, structured observations), that will be provided to help address those specific concerns;
- make clear how, and by when, the appraiser will review progress. (It may be appropriate to revise objectives and, in these circumstances, sufficient time will be allowed for improvement. The amount of time will reflect the seriousness of the concerns);
- explain the implications and process if no – or insufficient – improvement is made.

At this stage, it is recommended that a letter is issued to the individual confirming that a cause for concern has been raised, together with details of the discussion that has taken place, details of support to be provided and how and when progress will be

reviewed. A model letter for this purpose is attached as Appendix 4 at the end of this document.

When progress is reviewed, if the Head teacher, or member of staff nominated by the Head teacher, is satisfied that the teacher has made, or is making, sufficient improvement, the appraisal process will continue as normal, with any remaining issues continuing to be addressed through that process.

Transition to Capability (where applicable)

If the Head teacher, or member of staff nominated by the Head teacher, is not satisfied with progress, the teacher will be notified in writing that the appraisal system will no longer apply, that their performance will be managed under the capability policy and that they will be invited to a formal capability meeting. The capability process will be conducted as set out in the separate document 'Teacher Capability (Performance) Policy'.

Annual Assessment

Each teacher's performance will be formally assessed in respect of each appraisal period.

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 in interim meetings which will take place according to need, or requests, and are likely to vary depending upon the circumstances and/or role of individual teachers.

The teacher will receive as soon as practicable following the end of each appraisal period – and have the opportunity to comment in writing on - a written appraisal report. Teachers will normally receive their written appraisal reports by 31 October (31 December for the Head teacher). **The appraisal report will include:**

- details of the teacher's objectives for the appraisal period in question;
- **an assessment of the teacher's performance of their role and responsibilities against their objectives and the relevant standards;**
- **an assessment of the teacher's professional development needs and identification of any action that should be taken to address them;**
- **a recommendation on pay where that is relevant.** (Pay recommendations need to be made by 31 December for head teachers and by 31 October for other teachers);

A standard appraisal form produced for the purpose will be used to record all the above information and any other relevant details. (This form is available as a separate document).

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

Appraisal Outcomes and Links to Pay Progression

The statutory School Teachers' Pay and Conditions Document (STPCD) sets out the framework governing the determination of pay for all teachers.

In accordance with the statutory requirements of the STPCD, the Governing Body will, in relation to teachers on the Main and Upper Pay Ranges, the Pay Range for Leading Practitioners and the Pay Range for Unqualified teachers, consider annually with effect from 1st September whether or not to increase the salary of teachers who have completed a year of employment** since the previous annual pay determination and, if so, to what salary within the relevant nationally established pay ranges.

The STPCD requires the *Governing Body* to decide how pay progression will be determined, subject to the following:

- (a) The decision whether or not to award pay progression must be related to the teacher's performance, as assessed through the *School's* appraisal arrangements in accordance with the 2012 Appraisal Regulations;
- (b) A recommendation on pay must be made in writing as part of the teacher's appraisal report/statement and the *Governing Body* must have regard to this recommendation in making their decision;
- (c) Where a teacher is not subject to the 2012 Appraisal Regulations, the *Governing Body* must determine through what process the teacher's performance will be assessed and a pay recommendation made for the purposes of making its decision, except in the case of Newly Qualified Teachers, in respect of whom the *Governing Body* must do so by means of the statutory induction process set out in The Education (Induction Arrangements for School Teachers) (England) Regulations 2012;
- (d) Pay decisions must be clearly attributable to the teacher in question;
- (e) Continued good performance as defined by the *School's* Pay Policy should give a classroom or unqualified teacher the expectation of progression to the top of their respective pay range;
- (f) A decision may be made not to award progression whether or not the teacher is subject to capability proceedings.

In accordance with the statutory requirements of the STPCD, the Governing Body will, in relation to Leadership Group members, consider annually with effect from 1st September whether or not to increase the salary of members of the Leadership group who have completed a year of employment** since the previous pay determination and, if so, to what salary within the relevant pay range.

The STPCD requires the *Governing Body* to decide how pay progression will be determined, subject to the following:

- (a) The decision whether or not to award pay progression must be related to the individual's performance, as assessed through the *School's* appraisal arrangements in accordance with the 2012 Appraisal Regulations;
- (b) A recommendation on pay must be made in writing as part of the individual's appraisal report/statement, and the *Governing Body* must have regard to this recommendation;
- (c) Where the individual is not subject to the 2012 Appraisal Regulations, in order to reach a decision whether or not to award pay progression the *Governing Body* must seek to agree objectives with the individual relating to school leadership and

management and pupil progress and, in the absence of such agreement, must set such objectives, and must appraise the performance of the individual taking account of those objectives;

- (d) Pay decisions must be clearly attributable to the performance of the individual;
- (e) Sustained high quality of performance having regard to the results of the most recent appraisal carried out in accordance with the 2012 Appraisal Regulations or the objectives agreed (as the case may be) should give the individual an expectation of progression up the pay range;
- (f) Where in accordance with the provisions of an earlier Document the *Governing Body* has determined a pay range the maximum of which exceeds the highest salary payable under the 2014 Document it must continue to pay any salary determined by reference to that pay range until such time as it reassesses the pay range for its leadership posts under the provisions of the 2014 Document.

(** The interpretation of a “year of employment” for this purpose is as set out in the School Teachers’ Pay and Conditions Document Section 2, Annex 3, Paragraph 1.7).

The relevant body must set out clearly in the school’s pay policy how pay progression will be determined, in accordance with the above.

The arrangements for pay progression for all categories of teacher are as set out in Appendix 2 attached at the end of this document. In addition, the *School’s Pay Policy* also contains the arrangements for pay progression, as well as those for determining pay on appointment and the pay ranges in place locally within the nationally established pay framework. This Appraisal Policy should be read in conjunction with the Pay Policy.

The annual pay reviews, effective from 1st September, for all teachers below the Head teacher will be carried out as soon as possible and normally no later than 31st October in the new academic year. The annual pay review for the Head teacher will normally be carried out by no later than 31st December. Written salary statements will be issued as soon as possible and, in any event, not later than one month after a pay determination has been made. Any increase that may be agreed will be effective from 1st September and backdated.

Right of Appeal

There is no reference to a right of appeal within the Appraisal Regulations.

This policy allows individual teachers the right to make written comments on any aspect of the appraisal process if they wish to do so. The standard form referred to above contains space for comments by both parties.

In addition, it should be noted that the *School’s Pay Policy* also contains a ‘Procedure for Dealing with Appeals against Teachers’ Pay Decisions and Appraisal Statements’. This may be used as an appeal mechanism by any teacher who has specific concerns about his/her appraisal assessment that it has not been possible to resolve through the normal appraisal process.

3. General Principles Underlying This Policy

Confidentiality

The appraisal process will be treated with confidentiality. 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. Therefore, the Head teacher might review all teachers' objectives and written appraisal records personally, in order to check consistency of approach and expectation between different appraisers. (The Head teacher might involve another appropriate colleague in this process, in circumstances where it is considered that there is a need to do so. The colleague to whom any part of this process is delegated will have appropriate knowledge and skills and be fully aware of the need to maintain confidentiality). The Head teacher and/or *Governing Body* will also need to be aware of any pay recommendations that have been made.

Consistency of Treatment and Fairness

The *Governing Body* is committed to ensuring consistency of treatment and fairness. It will abide by all relevant equality legislation, including the duty to make reasonable adjustments for disabled teachers. The *Governing Body* is aware of the guidance on the Equality Act issued by the Department for Education.

Definitions

Unless indicated otherwise, all references to "teacher" include the head teacher.

Delegation

Normal rules apply in respect of the delegation of functions by Governing Bodies, Head teachers and local authorities.

Monitoring and Evaluation

The *Governing Body* and the Head teacher will monitor the operation and effectiveness of the appraisal arrangements in place.

Retention

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

Sickness

If long term sickness absence appears to have been triggered by the commencement of monitoring or a 'cause for concern' being raised, the case will be dealt with in accordance with the *School's* absence policy and will be referred immediately to the occupational health service to assess the member of staff's health and fitness and the appropriateness or otherwise of continuing with monitoring procedures. In some cases, it may be appropriate for procedures to continue during a period of sickness absence.

TEACHERS' STANDARDS IN ENGLAND FROM SEPTEMBER 2012

INTRODUCTION, LEGAL STANDING AND INTERPRETATION

1. The Teachers' Standards published by the Secretary of State for Education introduced some significant changes in terms of structure, content and application. This document is designed to assist those who will be using the standards to understand those changes and to implement the standards effectively.

2. The Teachers' Standards contained in this document came into effect on 1 September 2012, though the Teaching Agency (now the National College for Teaching and Leadership) has used the conduct elements since 1 April 2012 as a reference point when considering whether a teacher's conduct has fallen significantly short of the standard of behaviour expected of a teacher. They replaced the standards for Qualified Teacher Status (QTS) and the Core professional standards previously published by the Training and Development Agency for Schools (TDA), as well as the General Teaching Council for England's *Code of Conduct and Practice for Registered Teachers*.

3. **The standards apply to the vast majority of teachers regardless of their career stage.** The Teachers' Standards apply to: trainees working towards QTS; all teachers completing their statutory induction period; and those covered by the new performance appraisal arrangements (subject to the exception described in para. 4 below). Part 2 of the Teachers' Standards, which relates to professional and personal conduct, is used to assess cases of serious misconduct, regardless of the sector in which the teacher works.

4. Since 1 April 2012, teachers with Qualified Teacher Learning and Skills (QTLS) status have been able to teach in schools as fully qualified teachers. This change was made to give schools greater access to experienced teachers of vocational subjects, as recommended in Professor Alison Wolf's *Review of Vocational Education*. Headteachers have the freedom to decide the standards against which they assess the performance of QTLS holders. They can assess QTLS holders' performance against the Teachers' Standards, against any other set of standards relating to teacher performance issued by the Secretary of State, against any other professional standards that are relevant to their performance, or against any combination of those three. Before, or as soon as practicable after the start of each appraisal period, QTLS teachers (like other teachers) must be informed of the standards against which their performance in that appraisal period will be assessed.

5. The standards define the minimum level of practice expected of trainees and teachers from the point of being awarded QTS. The standards set out in this document constitute the 'specified standards' within the meaning given to that phrase in Schedule 2 of The Education (School Teachers' Qualifications) (England) Regulations 2003.

6. The standards need to be applied as appropriate to the role and context within which a trainee or teacher is practising. Providers of initial teacher training (ITT) should assess trainees against the standards in a way that is consistent with what could reasonably be expected of a trainee teacher prior to the award of QTS. Providers need to ensure that their programmes are designed and delivered in such a way as to allow all trainees to meet these standards, as set out in the Secretary of State's *Initial Teacher Training (ITT) Criteria*.

7. Similarly, headteachers (or appraisers) should assess teachers' performance against the standards 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 (whether they are a

newly qualified teacher (NQT), a mid-career teacher, or a more experienced practitioner). The professional judgement of headteachers and appraisers is therefore central to appraisal against these standards.

8. The standards replaced the existing Core professional standards, and are used to assess an NQT's performance at the end of their induction period in employment. The standards themselves do not specify any new or different elements to the expectations placed on NQTs beyond those required for the award of QTS. The decision about whether an NQT has met the standards to a satisfactory level at the end of their first year of full employment therefore needs to be made on the basis of what should reasonably be expected of an NQT working in the relevant setting and circumstances, within the framework set out by the standards. That judgement should reflect the expectation that NQTs have effectively consolidated their training, and are demonstrating their ability to meet the standards consistently over a sustained period in their practice.

9. Following the period of induction, the standards continue to define the level of practice at which all qualified teachers are expected to perform. Teachers' performance is assessed against the standards as part of the new appraisal arrangements in maintained schools.

Presentation of the Standards

10. This document is presented in three parts, which together constitute the Teachers' Standards: the **Preamble**, **Part 1** and **Part 2**.

11. The **Preamble** summarises the values and behaviour that all teachers must demonstrate throughout their careers. **Part 1** comprises the Standards for Teaching; **Part 2** comprises the Standards for Professional and Personal Conduct.

12. In order to meet the standards, a trainee or teacher will need to demonstrate that their practice is consistent with the definition set out in the **Preamble**, and that they have met the standards in both **Part 1** and **Part 2** of this document.

13. The standards are presented as separate headings, numbered from 1 to 8 in **Part 1**, each of which is accompanied by a number of bulleted subheadings. The bullets, which are an integral part of the standards, are designed to amplify the scope of each heading. The bulleted subheadings should not be interpreted as separate standards in their own right, but should be used by those assessing trainees and teachers to track progress against the standard, to determine areas where additional development might need to be observed, or to identify areas where a trainee or teacher is already demonstrating excellent practice relevant to that standard.

Progression and Professional Development

14. The standards have been designed to set out a basic framework within which all teachers should operate from the point of initial qualification. Appropriate self-evaluation, reflection and professional development activity is critical to improving teachers' practice at all career stages. The standards set out clearly the key areas in which a teacher should be able to assess his or her own practice, and receive feedback from colleagues. As their careers progress, teachers will be expected to extend the depth and breadth of knowledge, skill and understanding that they demonstrate in meeting the standards, as is judged to be appropriate to the role they are fulfilling and the context in which they are working.

Date of Introduction of the Standards

15. The revised standards came into effect on 1 September 2012, on which date they became the 'specified standards' as defined in Schedule 2 of The Education (School Teachers' Qualifications) (England) Regulations 2003. The Regulations require that in order to be recommended for the award of QTS, in most cases* a person must meet the specified standards that are in place at the time of assessment. Providers of initial teacher training need to ensure that all trainees who complete their training after 1 September 2012 are assessed against the standards that are in place as at the time of assessment, in accordance with the Regulations.

** For some categories, QTS can be awarded without undertaking ITT in England and meeting the QTS standards. Those exempt from meeting the QTS standards are individuals who have already successfully completed ITT or are recognized as teachers in another UK country and EEA nationals who are recognized as teachers in another EEA member state. Qualified further education teachers who have Qualified Teacher Learning and Skills (QTLS) status may also be exempt from meeting the Teachers' Standards.*

16. NQTs who qualified under the previous standards but started induction on or after 1 September 2012, or had started but not completed induction by 1 September 2012, need to be assessed against the Teachers' Standards at the end of their induction.

17. Existing teachers who have already passed induction will be expected to use the Teachers' Standards instead of the previous Core standards for appraisal, identifying professional development, and other related purposes.

18. When considering new cases of serious misconduct received from 1 April 2012, the National College for Teaching and Leadership (formerly the Teaching Agency), acting on behalf of the Secretary of State, must have regard to the personal and professional conduct aspects of the Teachers' Standards document instead of the General Teaching Council for England's (GTCE) *Code of Conduct and Practice for Registered Teachers*. The National College for Teaching and Leadership is still able to refer to the GTCE's *Code of Conduct* for any partially completed cases it received from the GTCE at the point of its abolition.

Note on Terminology Used/Glossary

Specific terminology used in the standards should be interpreted as having the following meaning:

- **'Fundamental British values'** is taken from the definition of extremism as articulated in the new Prevent Strategy, which was launched in June 2011. It includes 'democracy, the rule of law, individual liberty and mutual respect and tolerance of different faiths and beliefs'.
- **'Parents'** is intended to include carers, guardians and other adults acting *in loco parentis*.
- **'Pupils'** is used throughout the standards, but should be taken to include references to children of all ages who are taught by qualified teachers, including those in the Early Years Foundation Stage, and those in post-16 education.
- **'School'** means whatever educational setting the standards are applied in. The standards are required to be used by teachers in maintained schools and non-maintained special schools. Use of the standards in academies and free schools depends on the specific establishment arrangements of those schools. Independent schools are not required to use the standards, but may do so if they wish.

- **'Special educational needs'**, as defined by the Department for Education's *Special Educational Needs Code of Practice (2001)*, refers to children who have a learning difficulty. This means that they either: have a significantly greater difficulty in learning than the majority of children of the same age; or have a disability which prevents or hinders them from making use of educational facilities of a kind generally provided for children of the same age in schools within the area of the local education authority.
- **'Statutory frameworks'** includes all legal requirements, including but not limited to the requirement to promote equal opportunities and to provide reasonable adjustments for those with disabilities, as provided for in the Equality Act 2010. The term also covers the professional duties of teachers as set out in the statutory School Teachers' Pay and Conditions Document.

TEACHERS' STANDARDS

PREAMBLE

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.

PART ONE: TEACHING

A teacher must:

1. Set high expectations which inspire, motivate and challenge pupils

- establish a safe and stimulating environment for pupils, rooted in mutual respect
- set goals that stretch and challenge pupils of all backgrounds, abilities and dispositions
- demonstrate consistently the positive attitudes, values and behaviour which are expected of pupils.

2. Promote good progress and outcomes by pupils

- be accountable for pupils' attainment, progress and outcomes
- be aware of pupils' capabilities and their prior knowledge, and plan teaching to build on these
- guide pupils to reflect on the progress they have made and their emerging needs
- demonstrate knowledge and understanding of how pupils learn and how this impacts on teaching
- encourage pupils to take a responsible and conscientious attitude to their own work and study.

3. Demonstrate good subject and curriculum knowledge

- have a secure knowledge of the relevant subject(s) and curriculum areas, foster and maintain pupils' interest in the subject, and address misunderstandings
- demonstrate a critical understanding of developments in the subject and curriculum areas, and promote the value of scholarship
- demonstrate an understanding of and take responsibility for promoting high standards of literacy, articulacy and the correct use of standard English, whatever the teacher's specialist subject
- if teaching early reading, demonstrate a clear understanding of systematic synthetic phonics
- if teaching early mathematics, demonstrate a clear understanding of appropriate teaching strategies.

4. Plan and teach well-structured lessons

- impart knowledge and develop understanding through effective use of lesson time
- promote a love of learning and children's intellectual curiosity
- set homework and plan other out-of-class activities to consolidate and extend the knowledge and understanding pupils have acquired
- reflect systematically on the effectiveness of lessons and approaches to teaching
- contribute to the design and provision of an engaging curriculum within the relevant subject area(s).

5. Adapt teaching to respond to the strengths and needs of all pupils

- know when and how to differentiate appropriately, using approaches which enable pupils to be taught effectively
- have a secure understanding of how a range of factors can inhibit pupils' ability to learn, and how best to overcome these
- 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
- have a clear understanding of the needs of all pupils, including those with special educational needs; those of 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.

6. Make accurate and productive use of assessment

- know and understand how to assess the relevant subject and curriculum areas, including statutory assessment requirements
- make use of formative and summative assessment to secure pupils' progress
- use relevant data to monitor progress, set targets, and plan subsequent lessons
- give pupils regular feedback, both orally and through accurate marking, and encourage pupils to respond to the feedback.

7. Manage behaviour effectively to ensure a good and safe learning environment

- 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
- have high expectations of behaviour, and establish a framework for discipline with a range of strategies, using praise, sanctions and rewards consistently and fairly
- manage classes effectively, using approaches which are appropriate to pupils' needs in order to involve and motivate them
- maintain good relationships with pupils, exercise appropriate authority, and act decisively when necessary.

8. Fulfil wider professional responsibilities

- make a positive contribution to the wider life and ethos of the school
- develop effective professional relationships with colleagues, knowing how and when to draw on advice and specialist support
- deploy support staff effectively
- take responsibility for improving teaching through appropriate professional development, responding to advice and feedback from colleagues
- communicate effectively with parents with regard to pupils' achievements and well-being.

PART TWO: PERSONAL AND PROFESSIONAL CONDUCT

A teacher is expected to demonstrate consistently high standards of personal and professional conduct. The following statements define the behaviour and attitudes which set the required standard for conduct throughout a teacher's career.

- Teachers uphold public trust in the profession and maintain high standards of ethics and behaviour, within and outside school, by:

- treating pupils with dignity, building relationships rooted in mutual respect, and at all times observing proper boundaries appropriate to a teacher's professional position
 - having regard for the need to safeguard pupils' well-being, in accordance with statutory provisions
 - showing tolerance of and respect for the rights of others
 - 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
 - ensuring that personal beliefs are not expressed in ways which exploit pupils' vulnerability or might lead them to break the law.
- Teachers must have proper and professional regard for the ethos, policies and practices of the school in which they teach, and maintain high standards in their own attendance and punctuality.
 - Teachers must have an understanding of, and always act within, the statutory frameworks which set out their professional duties and responsibilities.

ANNUAL PAY PROGRESSION FROM 1ST SEPTEMBER 2014 ONWARDS

Objective setting, performance appraisal and pay determination for all teachers, including the Head teacher and other Leadership group members, will be carried out in accordance with the requirements of the 2012 Appraisal Regulations (including any subsequent amendments) and the statutory STPCD, as referred to above in the main body of this Appraisal Policy.

The pay progression criteria for each category of teacher, including any special circumstances that may apply, are as set out below. The *School's* Pay Policy also contains the arrangements for pay progression, as well as those for determining pay on appointment and the pay ranges in place locally within the nationally established pay framework. This Appraisal Policy should be read in conjunction with the Pay Policy.

(a) Progression Criteria - Members of the Leadership Group

In respect of **the Head teacher**, and working with the appointed external adviser, as appropriate, the *Governing Body/PRU Management Pay Committee/Panel* will agree or set objectives, appraise performance and determine pay. In respect of **Deputy and/or Assistant Head teachers**, as relevant, this will normally be carried out by the Head teacher or other Manager, as appropriate.

All Leadership group members who have completed a year of employment (as determined by the School Teachers' Pay and Conditions Document Section 2, Annex 3, Para. 1.7) since the previous pay determination and meeting the required criteria will normally move through the range established for the post, as determined by the governing body, until the maximum is reached. Any increase will be effective from 1st September. The Head teacher has a pay range, normally within the Leadership Group Pay Range, consisting of a minimum of 7 points. Any Deputy and Assistant Head teachers have a pay range within the Leadership group pay range consisting of a minimum of 5 points. Details of the ranges and how they are established are as set out in the Pay Policy.

*For all Leadership group members, a decision will be made annually, at the beginning of the appraisal period when the objectives are set, whether **either one or two point(s)** will become payable from the 1st September following completion of the review at the end of the appraisal period (subject to the pay range set not being exceeded). If a point(s) is payable, it will be made clear what needs to be achieved in terms of performance for the award to be made. Accordingly, the Pay Committee/Panel, Head teacher, or other Manager will, where appropriate, be provided with details of any point, or points, that may be available to him or her for the purpose of making any pay recommendation.*

Those on the Leadership Group Pay Spine play a critical role in the life of the school. In addition to any objectives set, and to progress in accordance with the *School's* policy, Leadership group members will be able to show that they are highly competent in all aspects of the Teachers' Standards, and meet the six key areas set out **below**, as appropriate to their role.

The Six Key Areas are:

Key Area 1 - Shaping the Future

The Leadership Group member is able to create a shared vision focused upon significant goals for improving learning, inspire stakeholders and plan effectively for the achievement of those goals. He or she:

- Shows vision and conviction focused on improving learning
- Understands and responds to the local and national context
- Thinks, plans and acts strategically to achieve that vision
- Involves and inspires stakeholders

Key Area 2 - Leading Learning and Teaching

The Leadership Group member is successful in raising the quality of learning, teaching and achievement through setting high expectations, monitoring and evaluating progress, establishing improvement strategies and addressing underachievement of learners. He or she:

- Sets high expectations which focus on improvement of learning and teaching
- Evaluates effectively, identifies actions and secures improvement
- Works with others to raise levels of progress and achievement
- Challenges and addresses underachievement of learners

Key Area 3 - Developing Self and Working with Others

The Leadership Group member is able to lead a collaborative learning culture by showing self-awareness, with a readiness to learn and help others learn. He or she:

- Builds a collaborative learning culture within the school
- Sets high expectations and gives clear feedback, identifying strengths and areas for improvement
- Recognises and uses opportunities for learning and development, for self and others
- Uses effective coaching and feedback skills

Key Area 4 - Managing the Organisation

The Leadership Group member manages effectively, uses resources efficiently, makes appropriate decisions and shows good judgement. He or she:

- Takes and shares responsibility, creating an effective organisation
- Shows good judgement, makes appropriate decisions and gets things done
- Ensures strategic plans are implemented effectively
- Manages resources efficiently

Key Area 5 - Securing Accountability

The Leadership Group member holds him or herself and others accountable for high standards of performance and behaviour and takes effective action for sustainable school improvement. He or she:

- Makes clear own and staff accountabilities to secure high standards of performance and behaviour
- Routinely analyses and evaluates school performance rigorously
- Provides clear and on-going feedback to others, recognising good practice and addressing unacceptable levels of performance
- Gives an accurate and comprehensible account of school performance to a range of stakeholders

Key Area 6 - Strengthening Community

The Leadership Group member engages effectively with the community, supporting individual pupils and families, reducing barriers to learning and securing improved outcomes for children and young people. He or she:

- Creates and maintains effective partnerships with a range of stakeholders
- Recognises and takes account of diversity
- Contributes to community cohesion.

In addition to the Six Key Areas referred to above, note: DfE advice on 'National Standards of Excellence for Headteachers' has been published for use by Headteachers, Governors and aspiring Headteachers. The advice is non-statutory but emphasises that the Standards may be used in a number of ways. For example, they can be used to inform the appraisal of Headteachers by serving as a background document to assist Governors, rather than as a set of Standards against which the Headteacher's performance can be assessed in the appraisal process. They may be used to inform objective setting (but should not be used as 'cut and paste' objectives). Governors may use the standards in appraisal to frame a broad overview of leadership in the specific context of the school. In these circumstances, the Governors/PRU Management Committee may decide to use these Standards in addition to, or to support, the six key areas set out above. The DfE advice on the 'National Standards of Excellence for Headteachers' can be accessed via the following link:

<https://www.gov.uk/government/publications/national-standards-of-excellence-for-headteachers>

Further information, including sources of evidence, is contained within the main body of this Appraisal Policy. In reaching a decision on the award of an increase, regard will be paid to the teacher's appraisal statement.

Where a teacher is not subject to the 2012 Appraisal Regulations, pay progression will be considered taking into account the statutory requirements as set out in the STPCD and this Appraisal Policy, as well as all the prevailing circumstances at the time, as appropriate.

Where a teacher has joined the School part way through the academic year, information from references and/or previous appraisal statements may be required in addition to the School's own evidence of performance if it is otherwise insufficient to make an informed judgement.

(b) Progression Criteria -Teachers on the Main Pay Range

The School's six-point Main Pay Range consists of the national minimum and maximum points for Outer London and four intermediate reference points, as set out in the Pay Policy.

Teachers who have completed a year of employment (as determined by the School Teachers' Pay and Conditions Document, Section 2, Annex 3, Para. 1.7) since the previous annual pay determination and meeting the required criteria will normally move up the range, one point each year, effective from 1st September, until the maximum is reached.

To achieve the annual one point increase, a teacher will need to have made good progress towards his/her appraisal objectives and have shown that s/he is competent in all elements of the Teachers' Standards.

Each teacher's career stage will be taken into account when consideration is given to the award of the next point on the range. Appraisal objectives will become more challenging as the teacher progresses up the main pay range. As appropriate, the Appraiser will be provided with details of the teacher's position on the range.

Judgments will be properly rooted in evidence. As a teacher moves up the main pay range, this evidence should show:

- *an increasing positive impact on pupil progress*
- *an increasing impact on wider outcomes for pupils*
- *improvements in specific elements of practice identified to the teacher, e.g. behaviour management or lesson planning*
- *an increasing contribution to the work of the school*
- *an increasing impact on the effectiveness of staff and colleagues*

Further information, including sources of evidence is contained in the main body of this Appraisal Policy. Any increase will be clearly attributable to the performance of the teacher in question. In reaching a decision on the award of an increase, regard will be paid to the teacher's appraisal statement.

Newly Qualified Teachers (NQTs) completing an Induction Period will not have been subject to the 2012 Appraisal Regulations during that time. Where a NQT is still progressing through his/her induction period at the time of the annual September pay review, the above arrangements for progression will be applied, as appropriate, taking into account information contained within his/her periodic assessments and any other supporting evidence. A NQT successfully completing his/her Induction period can expect to receive one additional point at the following annual September pay review (subject to the top of the pay range not being exceeded).

Where any other teacher is not subject to the 2012 Appraisal Regulations, pay progression will be considered taking into account the above factors and all the prevailing circumstances at the time, as appropriate.

Where a teacher has joined the School part way through the academic year, information from references and/or previous appraisal statements may be required in addition to the School's own evidence of performance if it is otherwise insufficient to make an informed judgement.

The current policy is that no additional point(s) will be awarded to any teacher for exceptional performance.

(c) Progression Criteria -Teachers on the Upper Pay Range

The School's three-point Upper Pay Range consists of the national minimum and maximum points for Outer London and one intermediate reference point, as set out in the Pay Policy.

Teachers who have completed a year of employment (as determined by the School Teachers' Pay and Conditions Document, Section 2, Annex 3, Para. 1.7) since the previous annual pay determination and meeting the required criteria will normally move up the range, one point every two years, effective from the relevant 1st September, until the maximum is reached. Where appropriate, the Appraiser will be provided with details of whether or not the teacher may be eligible for a point in a particular year.

To progress on the upper pay range, it is the governing body's expectation that the following factors will be taken into account:

- *the evidence base, which should show that the teacher has had a successful appraisal and has made good progress towards objectives;*
- *evidence that the teacher has maintained the criteria set out in the statutory School Teachers' Pay and Conditions Document and in the Pay Policy. - namely that the teacher is highly competent in all elements of the relevant standards; and that the teacher's achievements and contribution to an educational setting or settings are substantial and sustained. The meaning of these criteria is as set out below.*

'highly competent': *the teacher's performance is assessed as having excellent depth and breadth of knowledge, skill and understanding of the Teachers' Standards in the particular role s/he is fulfilling and the context in which s/he is working.*

'substantial': *the teacher's achievements and contribution to the school and/or another educational setting or settings (as relevant) are significant, not just in raising standards of teaching and learning in his/her own classroom, or with his/her own groups of children, but also in making a significant wider contribution to school improvement, which impacts on pupil progress and the effectiveness of staff and colleagues.*

'sustained': *the teacher will normally have had two consecutive successful appraisal statements in this School and have made good progress towards his/her objectives during this period (see exceptions in particular circumstances as referred to below). S/he will have been expected to have shown his/her teaching expertise has grown over the relevant period and is consistently good to outstanding.*

Further information, including sources of evidence is contained within the main body of this Appraisal Policy. Pay progression on the Upper Pay Range will be clearly attributable to the performance of the individual teacher. In reaching a decision on the award of an increase, regard will be paid to the teacher's appraisal statement.

Where a teacher is not subject to the 2012 Appraisal Regulations, pay progression will be considered taking into account the above factors and all the prevailing circumstances at the time, as appropriate.

Where a teacher has joined the School part way through the two-year period, information from references and/or previous appraisal statements may be required in addition to the School's own evidence of performance if it is otherwise insufficient to make an informed judgement.

It is the current policy that teachers will not be considered for progression earlier than every 2 years, other than in the most exceptional circumstances. This may apply (for example) where a teacher has successfully spent part or all of the 2-year period on a higher pay scale or where the school has come out of special measures during the 2-year period and it is considered that his or her individual contribution has been significant.

(d) Progression Criteria Teachers on the Pay Range for Leading Practitioners

The School's eighteen-point Pay Range for Leading Practitioners consists of the national minimum and maximum points for Outer London and sixteen intermediate reference points, as set out in the Pay Policy.

Teachers who have completed a year of employment (as determined by the School Teachers' Pay and Conditions Document, Section 2, Annex 3, Para. 1.7) since the previous annual pay determination and meeting the required criteria will normally move through the individual range established for the post, as determined by the governing body, until the maximum is reached. Any increases will be effective from 1st September.

A decision will be made annually, at the beginning of the appraisal period when the objectives are set, whether either one or two point(s) will become payable from the 1st September following completion of the review at the end of the appraisal period (subject to the individual range set for the post not being exceeded). Accordingly, the Head teacher, or other Manager, will, where appropriate, be provided with details of any point, or points that may be available to him or her for the purpose of making any pay recommendation, as appropriate.

To progress on the pay range, the evidence should show the Leading Practitioner:

- has made good progress towards his/her objectives;*
- is an exemplar of teaching skills, which should impact significantly on pupil progress, within school and within the wider school community, if relevant;*
- has made a substantial impact on the effectiveness of staff and colleagues, including any specific elements of practice that have been highlighted as in need of improvement;*
- is highly competent in all aspects of the Teachers' Standards;*
- has shown strong leadership in developing, implementing and evaluating policies and practice in their workplace that contribute to school improvement.*

"Substantial" and Highly competent" are as defined in (c) above.

Further information, including sources of evidence is contained within the main body of this Appraisal Policy. Pay progression on the Pay Range for Leading Practitioners will be clearly attributable to the performance of the individual teacher. In reaching a decision on the award of an increase, regard will be paid to the teacher's appraisal statement.

Where a teacher is not subject to the 2012 Appraisal Regulations, pay progression will be considered taking into account the above factors and all the prevailing circumstances at the time, as appropriate.

Where a teacher has joined the school part way through the academic year, information from references and/or previous appraisal statements may be required in addition to the school's own evidence of performance if it is otherwise insufficient to make an informed judgement.

It is the current policy that annual progression will be limited to a maximum of two points per annum, as stated above.

(e) Progression Criteria Teachers on the Pay Range for Unqualified Teachers

The School's six-point Unqualified Teacher Pay Range consists of the national minimum and maximum points for Outer London and four intermediate reference points, as set out in the Pay Policy.

Teachers who have completed a year of employment (as determined by the School Teachers' Pay and Conditions Document, Section 2, Annex 3, Para. 1.7) since the previous annual pay determination and meeting the required criteria will normally move up the range, one point each year, effective from 1st September, until the maximum is reached.

To achieve the annual one point increase a teacher will need to have made good progress towards his/her appraisal objectives and have shown that s/he is competent in all elements of the Teachers' Standards.

Judgments will be properly rooted in evidence. As unqualified teachers move up the range, this evidence should show:

- *an improvement in teaching skills*
- *an increasing positive impact on pupil progress*
- *an increasing impact on wider outcomes for pupils*
- *improvements in specific elements of practice identified to the teacher*
- *an increasing contribution to the work of the school*
- *an increasing impact on the effectiveness of staff and colleagues*

Further Information, including sources of evidence, is contained within the main body of this Appraisal Policy. Pay progression on the Unqualified Teacher Pay Range will be clearly attributable to the performance of the individual teacher. In reaching a decision on the award of an increase, regard will be paid to the teacher's appraisal statement.

Where a teacher is not subject to the 2012 Appraisal Regulations, pay progression will be considered taking into account the above factors and all the prevailing circumstances at the time, as appropriate.

Where a teacher has joined the School part way through the academic year, information from references and/or previous appraisal statements may be required in addition to the School's own evidence of performance if it is otherwise insufficient to make an informed judgement.

The current policy is that no additional point(s) will be awarded to any teacher for exceptional performance.

MODEL LETTER – INVITE TO AN INITIAL MEETING WHERE A ‘CAUSE FOR CONCERN’ ABOUT PERFORMANCE IS IDENTIFIED DURING THE TEACHER APPRAISAL PROCESS

PRIVATE & CONFIDENTIAL

To:

Dear

I would like to meet with you on..... (date) at (time) in
..... (venue) as part of the Teacher Appraisal process.

As you are aware, some concerns relating to your performance have been raised. We need to discuss their nature and seriousness, as well as the support we can provide to help address the issues and how and when progress will be reviewed.

Please be aware that I am happy for you to be accompanied by a Professional Association Representative or a colleague if you wish. I will be accompanied by (If relevant, state name and status).

Yours sincerely,

Name/Status (Head teacher or member of Staff nominated by the Head teacher, as appropriate)

MODEL LETTER – FOLLOW UP TO ‘CAUSE FOR CONCERN’ ABOUT PERFORMANCE MEETING (AS IDENTIFIED DURING TEACHER APPRAISAL PROCESS AND MAY LEAD TO FORMAL CAPABILITY PROCEDURES IF INSUFFICIENT IMPROVEMENT IS MADE) (to be adapted as appropriate)

PRIVATE & CONFIDENTIAL

To:

Dear

I am writing further to our meeting on (date) as part of the Teacher appraisal process.

As you are aware, some concerns relating to your performance have been raised. We discussed their nature and seriousness, as well as support to be provided to help address the issues and how and when progress will be reviewed. Written feedback from the appraisal meeting, including this information, *has since been provided to you/is attached to this letter (delete/amend as appropriate).*

Your progress will initially be monitored under the Appraisal Policy and arrangements. However, I do need to make it clear at this stage that, if I consider your progress to be unsatisfactory following an appropriate period of monitoring and review, you should be aware that the appraisal process may cease to apply and the matter addressed instead under the formal Capability Procedure. Where this may be the case after monitoring and review, you will be notified in writing and invited to a formal Capability meeting. Ultimately, formal Capability Procedures may lead to dismissal in circumstances where sufficient improvement in performance is not achieved through that Procedure.

I do hope, however, that this step to formal Capability Procedures will not prove to be necessary and that the concerns about performance that have been identified can be resolved under the Appraisal process.

Details of our next meeting to review progress are as previously arranged and set out on the Appraisal form *(or otherwise set out appropriate details and/or date and time for meeting depending upon specific arrangements in place)*. You may be accompanied by a Professional Association Representative or a colleague if you wish.

Yours sincerely,

Name/Status (Head teacher or member of Staff nominated by the Head teacher, as appropriate)

(90)

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6,000