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Newham Model Policy for Appraising Teacher Performance 2021/2022

The Governing Board of the Althorne & Lathom Schools Federation

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1. POLICY STATEMENT

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 continuous professional development. It also sets out the arrangements that will apply when teachers fall below the levels of competence that are expected of them and how the school will improve outcomes for children/students, and raise the morale of teachers, by motivating teachers to up-date their skills and improve their performance. This policy should be used alongside the school's self-evaluation and improvement planning processes.

The appraisal procedure will also be used to address any concerns that are raised about a teacher's performance. If concerns are such that they cannot be resolved through the appraisal process, there will be consideration of whether to commence the capability procedure.

2. APPLICATION OF THE APPRAISAL POLICY

This policy applies to the Head Teacher and to all qualified teachers employed at the school except those on contracts of less than one term and those undergoing induction (*i.e. Early Career Teachers, ECTs (formerly NQTs)*) or teachers on capability procedures. Please note that the induction period is 2 years under the new Early Career Framework.

Appraisal in 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.

3. THE APPRAISAL PERIOD

The appraisal period will run for twelve months normally in accordance with the school year.

Teachers who are employed on a fixed term contract of less than one year will be appraised in accordance with the principles underpinning this policy. The length of the period will be determined by the duration of their contract.

Where a teacher starts their employment at the school part-way through a cycle, the Head Teacher or, in the case where the employee is the Head Teacher, the governing board shall determine the length of the first cycle for that teacher, with a view to bringing his/her cycle in line with other teachers as soon as possible.

Where a teacher transfers to a new post within the school part-way through a cycle, the Head Teacher or, in the case where the employee is the Head Teacher, the governing board shall determine whether the cycle shall begin again and whether to change the appraiser.

4. APPOINTING APPRAISERS

All appraisers of teachers, other than those appraising Head Teachers, will be teachers and suitably trained (see appendix 4).

Head Teacher

The Head Teacher will be appraised by the Governing Board, supported by a suitably skilled and/or experienced external adviser who has been appointed by the Governing Board for that purpose.

The task of appraising the Head Teacher, including the setting of objectives, will be delegated to a sub-group consisting of normally 3 members of the Governing Board.

Where a Head Teacher is of the opinion that any of the governors appointed by the governing board is unsuitable to act as his/her appraiser, s/he may submit a written request to the chair of governors for that governor to be replaced, stating the reasons for the request.

Teachers

The choice of appraiser is decided by the Head Teacher. Where teachers have an objection to the Head Teacher's choice, their concerns will be carefully considered and, where possible, an alternative appraiser will be offered. All appraisers appointed by the Head Teacher will be qualified teachers and will have current or recent teaching experience.

Where it becomes apparent that the appraiser appointed by the Head Teacher will be absent for the majority of the appraisal cycle, the Head Teacher may perform those duties herself/himself or delegate those duties to another teacher for the duration of that absence.

If the Head Teacher appoints an appraiser who is not the teacher's line manager, the appraiser to whom she/he delegates those duties will have an appropriate position in the staffing structure, together with the necessary background knowledge, skills and training to undertake the role.

Where a teacher is experiencing difficulties and the Head Teacher is not the appraiser, the Head Teacher may undertake the role of appraiser. See also section on Teachers Experiencing Difficulties (section 9).

5. SETTING OBJECTIVES

See Appendix 5 for the approach to setting objectives during COVID-19.

The Head Teacher's objectives will be set by the appraisal sub-group of the Governing Board after consultation with the external adviser and the Head Teacher.

Objectives will be set before or as soon as practicable after the start of each appraisal period. The objectives set will be SMART: **S**pecific, **M**easurable, **A**chievable, **R**ealistic and **T**ime-bound and will be appropriate to the appraisee's role and level of experience. In setting the objectives, appraisers will have regard to what can reasonably be expected in the context of roles, responsibilities and experience, consistent with the school's strategy for

achieving a work/life balance for all staff. Appraisees may at any point append their comments alongside their objectives.

The appraiser and appraisee will seek to agree the objectives. These objectives may be revised if circumstances change. The school operates a system of moderation to ensure that all appraisers are working to the same standards. Objectives will be moderated across the school to ensure that they are consistent between teachers with similar experience and levels of responsibility. Should the objectives not be agreed, the final decision on allocation of objectives rests with the Head Teacher.

The agreed objectives will contain a description of what success may look like. Where use of numerical objectives is appropriate, these will be reasonable, in the circumstances in which the teacher works and it will be recognised that factors outside the teacher's control may significantly affect success.

Setting more than three objectives, or, for example, using sub-targets can lead to teachers experiencing unreasonable workload and pressure, making the objectives more difficult to achieve. Therefore, other than in exceptional circumstances, no teacher will be given more than three objectives.

The objectives set for each teacher are intended to contribute to the school's plans for improving the school's educational provision and performance and improving the education of pupils at that school and will take into account the professional aspirations of the teacher.

The appraiser will take into account the impact of an individual's circumstances, including any disability, when agreeing objectives. Appraisers need to give due regard to the governing board's obligation under the Equalities Act 2010 and in particular the duty of reasonable adjustments to allow an individual slightly longer to complete a task than might otherwise be the case. When staff return from a period of extended absence, objectives may be adjusted to allow them to readjust to their working environment.

Before, or as soon as practicable after the start of each appraisal period, each teacher will be informed of the standards against which the teacher's performance in that appraisal period will be assessed. Teachers will be assessed against the appropriate set of standards contained in the document "Teachers' Standards". The Head Teacher or governing board (as appropriate) will need to consider whether certain teachers should be assessed against other sets of standards published by the Secretary of State or another body that is more relevant. For QTLS holders, that may include the overarching professional standards for teachers in the lifelong learning sector as published by the Society for Education and Training (SET) and outlined in the Education and Training Foundation Professional Standards for Teachers and Trainers. There are a range of tools and guidance to support you in using the Standards available from both the ETF and the Society for Education and Training (SET) websites.

The teacher will be provided with a written record of this first stage of the appraisal cycle.

6. PAY PROGRESSION

See Appendix 5 for the approach to pay progression during COVID-19.

Where teachers are eligible for pay progression, the recommendation made by the appraiser will be based on the assessment of the appraisee's performance against the agreed objectives and teachers standards. This will be taken into account by the relevant body when considering a recommendation for pay progression. The decision made by the relevant decision-making board will also be based on the statutory criteria and guidance set out in the School Teachers' Pay and Conditions Document (STPCD) and the relevant teachers' standards.

The Governing Board has agreed the pay policy of the school and has considered the implications of the appraisal policy with respect to the arrangements relating to teachers' pay in accordance with the STPCD. The Governing Board will ensure that decisions on pay progression are made by 31 December for Head Teachers and by 31 October for other teachers.

7. REVIEWING PERFORMANCE

Observation

See Appendix 5 for the approach to lesson observation during COVID-19.

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.

The effective and efficient operation of the appraisal process requires lesson observation to be a confidential process of constructive engagement within an atmosphere of support and co-operation.

Accordingly, observations will be carried out in a supportive fashion, with professionalism, integrity and courtesy, will be evaluated objectively and reported accurately and fairly and will take account of particular circumstances, which may affect performance on the day.

At least 5 working days' notice of the date and time of the observation will be given and verbal feedback provided by at least the end of the next school day and written feedback within 5 working days, unless circumstances make this impossible.

Classroom observation will be carried out by qualified teachers.

For the purposes of appraisal, teachers' performance will be observed on an appropriate and reasonable number of occasions and will, as far as possible, be agreed by the appraiser with the appraisee based on the individual circumstances of the teacher and the overall needs of the school. The number and duration of appraisal observations will be in accordance with the school's observation protocol Appendix 1 which includes provision for exceptional

circumstances where concerns have been raised about a teacher's performance, or where the teacher requests additional observation visits.

Head Teachers or other leaders with responsibility for learning and teaching standards may "drop in" or undertake other observations to evaluate the standards of teaching and learning and to ensure that high standards of professional performance are established and maintained. The length and frequency of "drop in" or other observations, and the notice to be given, will vary depending on specific circumstances but will be in accordance with the school's learning walks and drop-in protocols (see Appendix 2 and Appendix 3).

For the purpose of professional development, feedback about lesson observations should be developmental, not simply a judgement using Ofsted grades.

This school will use the findings of each observation, including appraisal observations, for other management requirements (for example subject area reviews), thereby seeking to minimise the total number of occasions on which teachers are observed.

Teachers (including the Head Teacher) whose posts have responsibilities outside the classroom should also expect to have their performance of those responsibilities observed and assessed as part of the appraisal process.

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, through peer observation for example. Professional development will be linked to school improvement priorities and to the on-going professional development needs and priorities of individual teachers.

The school's CPD programme will be informed by the training and development needs identified as part of the appraisal process. The governing board 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.

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

With regard to the provision of CPD in the case of competing demands on the school budget, a decision on relative priority will be taken with regard to the extent to which:

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

A note will be made in a review meeting where it has not been possible for teachers to fully meet their performance criteria due to the support recorded in the planning statement not being provided.

8. MID YEAR AND ANNUAL ASSESSMENT

Each teacher's performance will be formally assessed in respect of each appraisal period. In assessing the performance of the Head Teacher, the Governing Board must consult the external adviser.

A formal mid-year review will take place for all teachers, including the Head Teacher. A mid-year review enables a two-way discussion to take place on the progress made against the appraisal targets. It is also an opportunity to review whether the objectives set are still relevant and whether any changes need to be made. It also presents a valuable opportunity to review whether the appraisee is receiving sufficient support and challenge to enable them to successfully meet their objectives.

The teacher will receive a written appraisal report, as soon as practical following the end of each 12-month appraisal period, and have the opportunity to comment on this. 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 individual objectives and against the relevant teaching standards, taking into account the whole school objectives and development plan, an assessment of the teacher's training and development needs and identification of any action that should be taken to address them;
- a recommendation on pay where that is relevant (**N.B. pay recommendations need to be made by 31 December for Head Teachers and by 31 October for other teachers**);
- a space for the teacher's (appraisee) comments.

A review meeting will take place to discuss the content of the report and any further action required and to inform objective setting for the next cycle. In some circumstances, an interim review meeting may be appropriate.

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

9. TEACHERS EXPERIENCING DIFFICULTIES

The following section does not apply to teachers who, whilst seeking to achieve challenging objectives, are consistently meeting the teachers' standards.

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

A 'teacher experiencing difficulties' and placed on a Support Plan (Section 9 Appraisal Policy) will have their appraisal targets paused to ensure all parties are focussed on the successful completion of the agreed support plan targets (i.e. any such support/action plan should be looked at outside of the

appraisal process to allow the teacher to achieve success without the additional burden of appraisal targets as part of the school's performance management approach.

Once the teacher (having received extra support, training, and time) has successfully completed and met the support plan targets, the pause in the appraisal targets is lifted. At that point, the original appraisal targets will be reviewed and amended, as necessary, to enable the teacher to have a fair opportunity to be eligible for pay progression at the usual time in the appraisal cycle.

If an appraiser identifies through the appraisal process, or via other sources of information that the teacher is experiencing difficulties, the appraiser and Head Teacher (or a member of the leadership team), will meet with the teacher (as part of the appraisal process) to:

- provide clear written feedback to the teacher about the nature and seriousness of the concerns;
- provide the teacher the opportunity to comment on and discuss the concerns;
- provide the teacher at least 5 working days' notice that a meeting will be held to discuss targets for improvement alongside a programme of support, and inform the teacher that he/she has the right to be assisted by a representative of an independent trade union or workplace colleague, and at any future meetings where capability will be discussed;
- in consultation with the teacher at the above meeting, an action plan with support will be established (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;
- make clear how progress will be monitored and when it will be reviewed;
- explain the implications and process if no – or insufficient – improvement is made.

As part of the strategy for improvement, counselling or peer support/mentoring could be arranged.

If the teacher has a disability, it needs to be established that all reasonable adjustments have been made to provide an opportunity to perform to the required standards, and that there has been a reasonable amount of time to adapt to any such adjustments.

The teacher's progress will continue to be monitored as part of the appraisal process and a reasonable time given for the teacher's performance to improve. This will depend upon the circumstances, but will be for a period of specified weeks, with appropriate support as agreed in the action plan, in order that the aim of recovering and improving performance can be achieved. During this monitoring period, the teacher will be given regular feedback on progress and arrangements will be made to modify the support programme if appropriate.

If sufficient progress is made such that the teacher is performing at a level that indicates there is no longer a possibility of capability procedures being invoked, the teacher should be informed of this at a formal meeting with the appraiser or Head Teacher. Following this meeting, the appraisal process will continue as normal.

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

It may be appropriate to explore other options that might be open to the teacher, such as a referral to occupational health if medical conditions impact upon performance. Alternative employment more suitable to the capabilities of the member of staff should be considered, including transfer to a post with reduced responsibility.

Appeals

Appraisees have a right of appeal against any of the written stages of the appraisal process. **This should be through the use of the grievance procedure.** Following pay determination, the teacher can exercise their right of appeal using the pay appeal procedure. At appeal hearings, teachers may be accompanied by a trade union representative or work colleague.

Exceptional circumstances

The DfE guidance states that it expects schools 'to use their discretion and take pragmatic steps, to adapt performance management and appraisal arrangements to take account of the current circumstances'. Joint guidance issued by the NGA, National Association of Headteachers (NAHT) and Association of School and College Leaders (ASCL) encourages schools, governing boards and trusts 'to respond flexibly and pragmatically, given that the performance management objectives of teachers and leaders are likely to have been impacted by the government's Covid-19 emergency measures, including school closures imposing limitations to on-site provision.

Indeed, it is likely to be the case that the vast majority of objectives set for teachers and leaders will be adversely affected by the inability of teachers and leaders to work towards their objectives during a substantial part of the performance management cycle.

So, it is widely accepted that the appraisal process will need to be adapted this year. As with teacher appraisal, headteachers must not be 'penalised' as a result of partial school closures, where this has impacted their ability to fully meet their objectives for 2020/2021/2022. School leaders and governors will need to carefully consider what additional evidence they use to make judgements about staff performance.

10. GENERAL PRINCIPLES UNDERLYING THIS POLICY

ACAS Code of Practice on Disciplinary and Grievance Procedures

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

Consistency of Treatment and Fairness

The Governing Board is committed to ensuring consistency of treatment and fairness and

will abide by all relevant equality legislation.

Sickness

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

Grievances

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

Confidentiality & Professional Relationships

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

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

However, the desire for confidentiality does not override the need for the Head Teacher and governing board 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.

Monitoring and Evaluation

The Governing Board and Head Teacher will monitor the operation and effectiveness of the school's appraisal arrangements.

The Head Teacher will provide the Governing Board with a written report on the operation of the school's appraisal and capability policies annually. The report will not identify any individual by name. The report will include an assessment of the impact of these policies on:

- Race
- Sex

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

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

Retention

The Governing Board and Head Teacher will ensure that all written appraisal records are retained in a secure place for six years and then destroyed, (see confidentiality above).

CLASSROOM OBSERVATION AND FEEDBACK PROTOCOL

Introduction

Classroom observation is an important tool in the appraisal process. The Governing Board is committed to ensuring that classroom observation is developmental and supportive. All assessments must be rooted in evidence. The most valuable and informative evidence is that which is obtained first-hand. Observations are intended to be part of a non-threatening process, which is intended to enhance teacher performance, support teachers' personal and professional development and improve pupil achievement.

Observations should be proportionate and multipurpose, in that they should provide information for a variety of schools monitoring purposes.

a) Arranging Observations

1. Set a definite day and time for the observation with staff. Agree the maximum length of the observation. These arrangements should be made five working days in advance.
2. Clearly define and share with staff the purpose of the observation, e.g. observing classroom management, level of standards of pupil's attainment and / or progress, progress in particular subject, newly qualified teacher support.
3. Agree how the feedback will occur: (within 1265 hours) e.g. end of the lesson, after school, non-contact time.
4. Define your role in the classroom before the observation e.g. to observe and ask question of the pupils, not to help teach a small group, not to judge pupils final work or give out stickers etc.
5. Ask staff to make it clear to pupils you are coming to the lesson. Get them to share the purpose e.g. to look at how well they are doing in writing, science, how well they are behaving etc.

b) During Observations

1. Find a comfortable place where you can see both the teacher and pupils and record your observations and impressions.
2. Do not interact with pupils immediately. Set the tone of the type of observation you are carrying out at the beginning.
3. Have a checklist of things to observe but have room for flexibility. Don't try to do too many things at once.
4. Watch how the teacher works with pupils in groups and/or individually.
5. Record what they do briefly and add an evaluative comment e.g. useful interaction with pupils, good questioning, lack of clear instructions, failed to successfully address inappropriate behaviour.

6. When interacting with pupils remember your purpose e.g. to judge their understanding of teaching, appropriateness of task for pupils etc. Avoid teaching but question and interact if you need to check their understanding or whether they are being stretched etc.
7. Thank the teacher and pupils before leaving the classroom. Give positive comments if you can and leave feedback for the set time.

c) Feeding back from Classroom Observations

1. Oral feedback will be given as soon as possible after the observation and no later than the end of the following working day. Set a convenient time (during directed time) and place, which is comfortable and pleasant to provide feedback. Avoiding places where other staff are present.
2. Redefine the purpose of the observation and the feedback: i.e. supportive, examining implementation of the school policy, critical friend, part of appraisal, competency or discipline etc.
3. Depending on the purpose of the observation either ask the teacher's opinion of how the the lesson went first or give your view and then ask for comments.
4. Ensure you list all the things that went well or that show good teaching, pupil engagement, attainment etc.
5. Ensure you highlight the most important things that need improving and concentrate on those. You should consider limiting the improvements to 3-5.
6. Decide and agree upon ways in which improvements can be made and how support can be given (e.g. observing others, visits to other schools, courses etc.). Ensure that the improvements that are needed are made quite clear and linked to planned professional development.
7. Set and agree targets for improvement. Set a time for the next observation to ascertain progress.
8. Before the end of the feedback, reinforce the positive observations in the lesson.
9. Written feedback will be provided within 5 working days of the observation. The record of the feedback will include the date of observation, lesson observed and length of the observation. The teacher observed may add a written comment if they wish.

LEARNING WALKS PROTOCOL

This document defines a learning walk as 'A planned examination of an area of school life by gathering a 'snapshot' of information'. They are valuable sources of information to support the school leadership in its self-evaluation and school improvement planning process.

Effective learning walks

- Are focused and targeted. These can be best achieved by framing a question or 'hypothesis' to investigate.
- Target a specific area of school life. This could be a subject, an aspect of teaching and learning (e.g. consistency in the use of AfL strategies), or another area of school life (e.g. pupil participation, or behaviour).
- Are planned for. They are likely to be most effective if they are fully integrated into the school development planning and self-evaluation cycle. All members of the school community should be aware why they are taking place, and adequate notice should be given to those members of staff who are likely to be visited as part of the evidence gathering process. The frequency of learning walks for individual teachers should be taken into account in planning the programme.
- Involve more than one person, possibly from different areas of the school. This allows for discussion about the impact of the findings on future school development needs.

How does a learning walk differ from a formal appraisal observation?

- Learning walks are designed to seek evidence from a range of sources. This may include looking at classroom practice and scrutinising planning and pupil work. The impact of the teaching and learning of one person should not be the focus of a learning walk. Feedback and reports produced should look at a wider issue – e.g. 'Maths in year 3', 'The use of success criteria in key stage 1'.
- Learning walks should provide a snapshot of regular practice within the school. Only in extreme circumstances should staff be asked to alter their normal timetable or daily practice to facilitate a learning walk.
- It is appropriate for the practice of unqualified and newly qualified teachers to be viewed as part of a learning walk. Careful consideration, however, should be given to inclusion in the process of teachers who have been advised that they are subject to capability procedures.

What might be the outcomes of a learning walk?

- It is likely that 'whole school' issues will emerge from the learning walk, which can be fed into the school improvement and self-evaluation process.

- Sharing good practice across the school.
- Should an individual be viewed making an outstanding contribution to pupil progress then consideration should be given to acknowledging verbally their input and to seeking ways of finding opportunities for that staff member to share and model their practice to others.
- Should a cause for concern arise during a learning walk, the matter should be discussed with the teacher at the earliest opportunity and appropriate action taken using personnel procedures where necessary.
- The grading of lesson observations is not an appropriate part of the feedback.

DROP-IN PROTOCOL

- To ensure that the school is operating effectively it is often necessary for school leaders to 'drop-in' to classrooms. This may take place for a number of reasons, examples include:
 - To diagnose whether school policies are being followed
 - To allow the leadership to make judgements about consistencies and inconsistencies within the school
 - To allow leadership to look at outcomes in context.
 - To ensure that staff are supported in behaviour management
 - To allow postholders to get a feel of the provision relevant to their area of responsibility (this may be subject or phase or year group specific)
 - As a reaction or response to recent events either within school, locally or nationally.
- Drop ins should only be carried out by staff to enable them to carry out their specific responsibilities.
- Drop ins could occur at any time and require no prior notice. Time spent in any one teaching space during a drop in would not exceed 15 minutes.
- Findings from drop ins fall outside of the school's appraisal procedures.
- Findings from drop ins should not be used to make Ofsted graded judgements about any individuals teaching within the school.
- Findings from drop ins could be used to inform the school's self-evaluation processes.
- The timing and nature of drop ins should be sensitive to not disturbing the learning activity.
- Should anything be observed during a drop in that suggests that the education of pupils is at risk, school policies are not being followed, or safeguarding issues are raised, the member of staff will be informed and follow up action taken. This may include unannounced classroom observations. Should an unannounced observation take place all elements of the classroom observation protocol will be followed. Outcomes of any follow up lesson observation will be considered in the appraisal process to seek to improve teaching practice.
- Drop-ins are not focused on formally assessing the teacher they are concerned with the teaching.

Supplementary management guidance

Suitably trained is defined here as a member of staff who is a qualified teacher and has had adequate training on completing appraisals and has read and understood the school appraisal policy and relevant professional standards for qualified teacher status (QTS) / qualified teacher learning and skills (QTLS) status. In order for an effective appraisal to be carried out, the staff member should be skilled in assessing the contribution of the appraisee towards the school's improvement and development plan.

Relevant standards are defined here:

For Qualified Teacher Status (QTS):

The Teachers' Standards, replacing Qualified Teacher Standards (QTS), are the standards that define the minimum level of practice expected of trainees and teachers from the point of being awarded qualified teacher status (QTS).

The Teachers' Standards are used to assess all trainees working towards QTS, and all those completing their statutory induction period. They are also used to assess the performance of all teachers with QTS who are subject to The Education (School Teachers' Appraisal) (England) Regulations 2012, and may additionally be used to assess the performance of teachers who are subject to these regulations and who hold qualified teacher learning and skills (QTLS) status.

Who are the standards for?

The Teachers' Standards apply to:

- trainees working towards QTS;
- all teachers completing their statutory induction period (newly qualified teachers and
- teachers in maintained schools, including maintained special schools, who are covered by the 2012 appraisal regulations.

The Teachers' Standards must be used by initial teacher training (ITT) providers to assess when trainees can be recommended for qualified teacher status. They must be used by schools to assess the extent to which newly qualified teachers can demonstrate their competence at the end of their induction period.

Teachers applying to access the upper pay range will be assessed as to whether they are highly competent in all elements of the Teachers' Standards and whether their achievements and contribution to an educational setting or settings are substantial and sustained

The National College for Teaching and Leadership (NCTL) uses Part Two of the Teachers' Standards, which relates to personal and professional conduct, when assessing cases of serious misconduct, regardless of the education sector in which the teacher works.

For Qualified Teaching Learning and Skills (QTLS) status:

From 2012, the relevant regulations were changed so that anyone holding QTLS status would have to be employed as a qualified teacher if they worked in a maintained school in England. This means that QTLS holders must be treated as if they have QTS in these schools and are not required to complete a training (induction) year when joining the school.

Other schools are not bound by these regulations, so they are free to choose how they employ those with QTLS, along with other teachers.

Maintained schools who recruit a teacher with QTLS and membership of SET must pay them as a qualified teacher on the relevant pay scale and treat them as if they hold QTS for the purposes of performance management, pay progression etc. – the Teachers' Standards say more about this.

Other schools do not have to do this, they have the freedom to set their own terms and conditions, but many choose to maintain this parity and recognise the important knowledge and skills that FE trained teachers can bring to their subjects.

Appendix 5

Addendum (COVID-19)

Performance Management and Appraisal – 2019/2020 and 2020/2021

Department for Education [guidance](#) states that appraisal and performance management processes [should continue in maintained schools](#) during the pandemic, but teachers must not be "penalised" as a result of partial school closures, where this has impacted their ability to fully meet their objectives.

The approach to performance management should be within the context of looking after the health and wellbeing of staff and should be sufficiently flexible to account for the range of circumstances and situations, which may arise during COVID. These may include self-isolation, remote learning or school closure.

Consideration needs to be given as to whether the activities of appraisal and performance management can be carried out in the usual way (with regard to the protective measures in place in schools). This means heads should consider whether **learning walks, drop-ins and lesson observations** are appropriate in the current circumstances. Any such activities should form part of the school's risk assessment. Given this context, schools may consider the activities below.

Socially distanced and/or on-line conversations:

- With individual teachers about pupil wellbeing, learning and pupil progress and how the response to pupils' needs is reflected in their lesson planning, delivery and review; and
- with groups of children to gauge their progress in learning
- Using more opportunities to join a range of planning sessions; and
- Seeking more information from teachers to be available on-line.

Setting Objectives going forward

Schools in the current climate should be flexible and pragmatic in setting targets. Given the continuing state of uncertainty around school closures and the impact on individual staff of COVID (e.g. isolation) it will be difficult to set targets in relation to the standard accountability measures. It is also not advisable to base objectives on remote learning (including digital platforms).

Whole school targets may have been revised and these should translate into individual targets. Objectives should reflect whole school and individual targets, and where applicable leadership related targets. Consideration should also be given to including an objective relating to the wellbeing of staff.

All teachers should be working to their job description and teachers' standards. If a teacher is not meeting a teaching standard, this could be considered as an 'area of development'. If after support has been provided they are unable to meet the standard, then this has to be dealt with as per the policy.

In setting objectives/targets, schools could consider the following:

1. For ECTs moving into year 2, use Teachers' Standards to set performance development targets and looking at a greater depth of expertise with a view of

raising the quality of education provision. In previous years, targets have been based on quantitative indicators such as pupil attainment. In the current climate, it is suggested that these should be based on professional development and the needs of the school.

2. Targets would need to be set taking into account the school's own development plan and the teacher's own professional development. This would need to be agreed with the teacher at the start of the appraisal cycle. For example, a target could be set around research, and evidence of meeting the target could be collected by evidencing the amount of work completed, how the research is implemented with children and or case studies etc.

The School Improvement Service can offer more specific advice around objective setting.

Professional Development

Appraisers should take into account that teachers may not have access to previously available continuing professional development (CPD) materials. Schools should consider alternatives such as online professional development and other development opportunities that contribute to the school but may not directly link to meeting individual targets e.g. budget management, refreshing ICT skills etc.

Learning walks, drop-ins and lesson observations

During the pandemic the decision of whether to conduct learning walks, drop-ins and lesson observations will depend on a number of factors that need to be taken into account and should be risk assessed (as referenced above). **Where in-person observations are not possible, schools should look for other methods of gathering evidence.** Careful consideration should be given as to whether on-line observations are appropriate in the circumstances.

Where learning walks, drop-ins and lesson observations are taking place observers should take into consideration:

- support provided for teachers in using new technologies and systems introduced as a result of Covid-19
- whether the teacher is using a new format to teach the class
- length of time, since the new format has been used by the teacher (not the school)
- have pupils and/or the teacher been directly impacted by Covid-19 (i.e. bereavement or bubble sent home)
- Some schools will be using online technologies that have the functionality to record lessons. Recorded lessons can be used for classroom observations but teachers must be notified in advance that the school will be adopting this procedure to conduct lesson observation.
- The protocol of arranging observations must be followed.

For any practical support in carrying out lesson observations during the pandemic, you can access support from the School Improvement Team.

Pay Progression

In light of Covid-19 the default position will be that all teachers will progress by a full point and teachers who are on Section 9 (i.e. teachers experiencing difficulties) will progress by at least half a point. This only applies to teachers on the main pay range.

Progression to and within the upper pay range is based on a set criterion as indicated in paragraphs 3.2 and 3.3 of the model pay policy:

3.2 Threshold Assessment

The criteria for teachers moving from main scale to the Upper Pay Range still apply. The arrangements for gathering and providing the evidence should take account of the issues raised above in relation to risk assessments.

For ease of reference, the criteria are reproduced below:

"An application from a qualified teacher will be successful where the relevant body is satisfied:

- a) that the teacher is highly competent in all elements of the standards; and
- b) that the teacher's achievements and contribution to the school are substantial and sustained."

NB: In accordance with Section 3 of the STPCD 2019, Schools should make clear in their pay policies how they will interpret the above criteria and what evidence they will take into account.

Applications will need to be made to the appraiser in writing by the date of the teacher's individual review meeting for progression on the previous 1st September (assuming the review meeting takes place in the autumn term).

Teachers who apply to move to the Upper Pay Range will be awarded progression to that Range having regard to the two most recent appraisal reviews, provided that these demonstrate a) and b) above.

Reviews will be deemed to be successful if the teacher has been assessed as fully meeting their objectives and the Teachers' Standards.

Teachers may be asked if they wish to draw any information to the Head Teacher's attention but will not be required to submit evidence with their application. The decision on progression will be taken by the Head Teacher after consideration of the evidence and consultation with other relevant school managers. The decision will be advised to the teacher in writing.

3.3 Upper Pay Range Teachers (Post Threshold Teachers)

Upper Pay Range teachers will be awarded pay progression along the Upper Pay Range following a successful annual appraisal review, provided that the review demonstrates the teacher has met their objectives, Teachers' Standards and continued to meet a) and b) above.

Reviews will be deemed successful unless significant concerns about standards of performance have been raised in writing with the teacher during the annual appraisal

cycle and have not been sufficiently addressed through support provided by the school and recorded in the appraisal statement by the conclusion of that process.