

Performance Appraisal Policy and Procedure for Teachers & Headteachers

**Authority Guidelines on Staffing Procedures for Community,
Voluntary Controlled, Community Special Schools and Early
Years Centres
(and those adopted by Governing Bodies of other maintained/non
maintained schools)**

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APPRAISAL POLICY AND PROCEDURE FOR TEACHERS & HEADTEACHERS

POLICY

1. Legal Framework

Revised appraisal arrangements come into force with effect from 1 September 2012. They are set out in the Education (School Teachers' Appraisal) (England) Regulations 2012 (the Appraisal Regulations) which replace the Education (School Teacher Performance Management) (England) Regulations 2006 (the 2006 Regulations). The 2006 Regulations continue to apply to any performance management cycle which is in progress on 1 September 2012, unless the Governing Body or local authority decides to end that cycle early and to begin a new appraisal period starting on or after that date.

The Appraisal Regulations set out the principles that apply to teachers in all maintained schools and unattached teachers employed by a local authority, in each case where they are employed for one term or more.

The Local Authority has consulted on this policy with Wirral's Headteacher and Teacher Professional Association representatives. Teachers within the school have been consulted on any items specific to this school.

2. Scope

The Policy applies to the Headteacher and to all teachers employed by the school except teachers on contracts of less than one term, those undergoing induction (i.e. NQTs) and those who are the subject of capability procedures.

The Headteacher must ensure the appraisal of every other teacher employed in the school. The Headteacher may delegate this duty to the teacher's line manager or another member of the leadership team, or other appropriate member of staff with relevant experience.

Appraisal in this school/academy will be a supportive and developmental process designed to ensure that all teachers have the skills and support to carry out their role effectively. It will help to ensure that teachers are able to continue to improve their professional practice.

3. Purpose

This policy sets out the framework for a clear and consistent assessment of the overall performance of teachers, including the Headteacher, 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. It also sets out the arrangements that will apply when teachers fall below the levels of competence that are expected of them.

This policy should be read in conjunction with our Whole School Pay Policy which provides details of the arrangements relating to teacher's pay in accordance with the School Teachers' Pay and Conditions Document.

4. Links to School Improvement

The Governing Body expect that objectives set for all teachers including the Headteacher, if achieved, will improve the education of pupils of our school and contribute to the implementation and achievement of School Improvement Planning and Evaluation and any other plans adopted from time to time to improve the school's education provision and performance.

5. Consistency of treatment and fairness

The Governing Body is committed to ensuring consistency of treatment and fairness in the operation of performance management.

The Appraisal policy is designed to:

- Improve standards of teaching, learning and outcomes for pupils.
- Improve teacher morale and motivation;
- Lead to identification of professional development according to needs;
- Be seen by staff as enabling;
- Encourage the development of professional judgements;
- Identify the resources and facilities needed to support teachers;
- Be manageable and not introduce bureaucratic burdens; and
- Have regard to the necessity of achieving work/life balance for all teachers

PROCEDURE

1. The Role of the Headteacher in quality assurance

You must decide which of the following options to include in your school's policy document.

The Headteacher has determined that he will be the Appraiser for all teachers

All appraisers must hold qualified teacher status. Where the Headteacher has decided to delegate the role of Appraiser, in its entirety, to the relevant line manager or equivalent, for some or all other teachers, the maximum number of appraisals that any appraiser will be expected to undertake per cycle will be reasonable and proportionate, but have due regard to the workload of appraisers.

Where a teacher has more than one line manager the Headteacher will determine which appraiser will be best placed to manage the teacher's appraisal process.

Where a teacher is of the opinion that the person to whom the Headteacher has delegated the appraiser's duties is unsuitable for professional reasons, he/she may submit a written request to the Headteacher for that Appraiser to be replaced, stating those reasons.

If legitimate concerns are raised about the choice of appraiser, these will be carefully considered and, if the Headteacher (or in the case of the Headteacher, the Governing Body) considers the concerns valid, an alternative appraiser will be offered. If not considered valid, an explanation will be given.

Where it becomes apparent that the Appraiser will be absent for the majority of the cycle or is unsuitable for professional reasons the Headteacher may perform the duties himself/herself or delegate them in their entirety to another teacher.

An Appraisal cycle will not begin again in the event of the Appraiser being changed.

All appraisers to whom the Headteacher has delegated the role of appraiser will receive appropriate preparation for that role.

2. The appraisal period

The appraisal period will run for twelve months from 1st September to 31st August *(School to set out any differences that exist for different categories of staff)*.

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.**

NB 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.

Where a teacher starts their employment at the school part-way through a cycle, the Headteacher or, in the case where the teacher is the Headteacher, the Governing Body shall determine the length of the cycle for the teacher at the school as soon as possible.

Where a teacher transfers to a new post within the school part-way through a cycle, the Headteacher or, in the case where the teacher is the Headteacher, the Governing Body shall determine whether the cycle shall begin again and whether to change the appraiser/objectives.

3. Annual assessment

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

This assessment is the end point of 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 **termly**.

The teacher will receive as soon as practicable following the end of each appraisal period, a written appraisal report with a section for the appraisee's comments. In this school, teachers will receive their written appraisal report by 31st October (31st December for Headteachers). 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 their relevant standards

- An assessment of the teacher's training and development needs and identification of any action that should be taken to address them
- A recommendation on pay where that is relevant. The final decision about whether or not to accept a pay recommendation will be made by the Governing Body, having regard to the appraisal report and taking into account the advice from the Headteacher or a member of the Senior Management Team **(N.B. pay recommendations need to be made by 31st December for Headteachers and 31st October for other teachers)**

NB Schools may choose to make any other additions to the content of the appraisal report

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

4. Teachers' Standards

Current advice is that all teachers will be assessed against the "Teachers Standards" published in July 2011, and any other standards relating to teachers' performance published by the Secretary of State as the Governing Body or Headteacher determines is applicable to the performance of any individual teacher and that they have been informed of at the start of the appraisal period.

The Headteacher will be assessed against the National Standards for Headteachers and any other standards relating to teachers' performance published by the Secretary of State as the Governing Body determines is applicable to their performance and that they have been informed of at the start of the appraisal period.

The appraisal policy will be updated in light of any new standards issues.

5. Objective setting for teachers

The objectives set will be challenging and Specific, Measurable, Achievable Realistic and Time-bound (SMART) fair and equitable in relation to the teacher's roles/responsibilities and experience, and will have regard to what can reasonably be expected of any teacher at a given point of their career progression. Governors also recognise the desirability of teachers being able to achieve a satisfactory work-life balance.

Objectives for each teacher will be set at the planning stage of the process, and the teacher will be informed of the standards against which their performance in that appraisal period will be assessed. The appraiser and teacher will seek to agree the objectives but, if that is not possible, the appraiser will determine the objectives. Should the objectives not be agreed, the final decision on allocation of objectives rests with the Headteacher. Objectives may be revised if circumstances change. In the case of the Headteacher the Governing Body will make the final decision on the objectives.

The agreed objectives will contain a description of what success may look like.

Performance objectives must state the level of performance required to meet the objective at the end of the review period.

Performance objectives will become more challenging as teachers progress up the pay scale.

Schools must provide a definition of outstanding and good performance in the context of the school which are consistent with professional standards for teachers and reflect the principles associated with:

- Good levels of competency, able to evidence good depth and understanding of the professional standards for teachers.
- Substantial and significant contributions to the school, appropriate to their career stage.
- Are consistent with sustained performance in relation to objectives that have been set annually.

They will have shown their teaching expertise has grown over the relevant period and is consistently good with the potential to become outstanding as their career develops.

Evidence relating to performance should be supported by a demonstration of a contribution towards:

- An increasing positive impact in pupil progress;
- an increasing positive impact on wider outcomes for pupils;
- improvement in specific elements of practice, e.g. lesson planning;
- an increasing contribution to the work at the school
- an increasing impact on the effectiveness of staff and colleagues;

The evidence gathered by a member of staff will largely be determined by the nature and scope of the agreed objectives and/or the Teachers Standards. Examples of evidence may include some of the following:

- classroom observations
- task observations
- reviews of assessment results
- reviews of lesson planning records
- internal tracking
- moderation within and across schools
- Headteachers walkabouts
- evidence supporting progress against Teachers Standards

Where use of numerical targets is appropriate, these will be reasonable, in the circumstances in which the teacher works and it will be recognised that factors outside teachers' control may significantly affect success.

The objectives set for each teacher will take into account their professional aspirations, and 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 the Head Teacher.

In this school all teachers, including the Headteacher, will **normally** have three, and no more than four objectives. All teachers, including the Headteacher, will have a whole school objective, thus making a direct and shared link with school improvement planning.

Though appraisal is an assessment of overall performance of teachers and the Headteacher, objectives cannot cover the full range of a teacher's roles/responsibilities. Objectives will, therefore, focus on the priorities for an individual for the cycle. At the review stage teachers will also be assessed against the Teachers Standards and any other standards relating to teachers' performance published by the Secretary of State as the Governing Body or Headteacher determines is applicable to the performance of any individual teacher and that they have been informed of at the start of the appraisal period.

6. Objective setting for upper pay range

Teachers can apply to progress to the upper pay range at any point in their career. Teachers must inform their appraiser in advance in order to be able to set objectives and gather appropriate evidence.

- Progression will no longer be based on threshold standards
- Teachers to be assessed as highly competent to move on to the upper pay range. In this school **highly competent** is where the teacher is assessed as having excellent depth and understanding of the Teachers' Standards in the particular role they are fulfilling and the context in which they are working.
- Teachers must evidence a sustained and substantial contribution to the school. In this school, **substantial** is where the teacher's achievements and contribution to the school are significant, not just in raising standards of teaching and learning in their own classroom but also in making a significant wider contribution to school improvement which impacts on pupil progress and the effectiveness of staff and colleagues.
- **Sustained** is where the teacher would usually have had two consecutive successful appraisal reports and have made good progress towards their objectives; they will have been expected to have shown their teaching expertise has grown over the relevant period and is consistently good to outstanding.

6.1 Upper Pay Scale Application Process

One application may be submitted annually. The closing date for applications is normally 31st October each year; however, exceptions will be made in particular circumstances, eg those teachers who are on maternity leave or who are currently on sick leave. The process for applications is:

- (i) Complete the school's application form

- (ii) Submit the application form and supporting evidence to the head teacher by the cut-off date of 31st October
- (iii) You will receive notification of the names of the assessor (including if your appraiser or the Headteacher) of your application within 5 working days
- (iv) The assessor will assess the application, which will include a recommendation to the pay committee of the relevant body
- (v) The application, evidence and recommendation will be passed to the head teacher for moderation purposes
- (vi) The pay committee will make the final decision, advised by the head teacher
- (vii) Teachers will receive written notification of the outcome of their application by 31st October or as soon as possible thereafter. Where the application is unsuccessful, the written notification will include the areas where it was felt that the teacher's performance did not satisfy the relevant criteria set out in the policy (see 'Assessment' below)
- (viii) If requested, oral feedback which will be provided by the assessor. Oral feedback will be given within 10 school working days of the date of notification of the outcome of the application. Feedback will be given in a positive and encouraging environment and will include advice and support on areas for improvement in order to meet the relevant criteria
- (ix) Successful application will move to the minimum of the UPR on 1st September 2017
- (x) Unsuccessful application can appeal this decision. The appeals process is set out at the back of this pay policy

7. Monitoring and evaluation

The Headteacher will provide the Governing Body with a written report on the operation of the school's Appraisal Policy annually. The report will not contain any information which would enable any individual to be identified. The report will include;

- the operation of the Appraisal Policy;
- the effectiveness of the school's Appraisal Procedures; and
- teachers' training and development needs.

8. Confidentiality

The Appraisal process and the reports generated under it, in particular, will be treated with strict confidentiality at all times. In addition to the Headteacher and or the Headteacher's representative, only the appraisee's line manager or, where he/she has more than one, each of his/her line managers will be provided with access to the appraisee's plan and review recorded in his/her report, upon request, where this is necessary to enable the line manager to discharge his/her

management responsibilities. Appraisees will be consulted on requests for access to statements in the context of this policy.

Governors directly involved in the Headteacher's appraisal and the external adviser will be provided with access to the Headteacher's plan and review record in his/her report. Details of the Headteacher's objectives will be reported to the full Governing Body as soon as practicable after the beginning of the appraisal cycle. Governors not directly involved in the Headteacher's appraisal will be given access to the review of his/her performance, on request, and where they are being asked to make a decision on pay.

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

The Governing Body and the Headteacher will ensure that all written appraisal records are retained in a secure place for 6 years and then destroyed.

9. Reviewing performance

9.1 Observation

This 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 observations will be carried out in a supportive fashion, with professionalism, integrity and courtesy, will be evaluated objectively and reported accurately and fairly.

In this, school teachers' performance will be 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 (Qualified Teacher Status). In addition to formal observation, Headteachers or other leaders with responsibility for teaching standards may "drop in" in order to evaluate standards of teaching and 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.

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

N.B. A protocol on classroom observation and practice will be developed by individual schools to complement the appraisal policy.

9.2 Development and Support

Appraisal is a supportive process which will be used to inform continuing professional development (CPD).

The school will encourage a culture in which all teachers take responsibility for improving their teaching through appropriate professional development.

An account of the training and development needs of teachers in general, including the instances where it did not prove possible to provide any agreed CPD, will form a part of the Headteacher's annual report to the Governing Body.

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

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

9.3 Feedback

After an observation, Teachers will normally receive constructive oral feedback within 24 hours on their performance. Written feedback will normally be received within 5 working days, using an appropriate form and should highlight particular areas of strength as well as any areas that need attention.

Where there are concerns about any aspects of the teacher's performance the appraiser and / or Headteacher will meet the teacher to formally:

- Give clear written feedback to the teacher about the nature and seriousness of the concerns
- Give the teacher the opportunity to comment and discuss the concerns - teachers can choose to respond in writing.
- 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 it will be necessary to allow sufficient time for improvement. The amount of time is up to the school but should reflect the seriousness of the concerns**)
- Explain the implications and process if no, or insufficient, improvement is made.
- When progress is reviewed, if the appraiser 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.

At this stage, if the Headteacher believes it would be beneficial they may advise the teacher to consider involving Professional Associations or a work based colleague.

10. Appeals

Appraisees have the right to appeal against any of the entries in the written appraisal report. Details of the appeals process are available from the

Headteacher and the Governing Body. Where the Headteacher has not been recommended for pay progression he/she will be informed by the appropriate governor. The Headteacher will notify any teacher who has not been recommended for pay progression of the date when the Governing Body meets to consider pay recommendations, following which the teacher (and the Headteacher when the head has not been recommended for pay progression) may exercise a right of appeal, assisted by a companion who may be a work colleague or trade union official or trade union representative/professional association representative.

11. Transition to Capability

If no, or insufficient, improvement has been made over this period, the teacher will be invited to a transition meeting with the Headteacher, or in the case of the Headteacher the Chair of Governors, 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/professional association representative or a work colleague and have at least 5 working days' notice of the meeting.

(Please refer to the Capability Procedure for information on progressing formal capability).

12. Appointment of appraisers for the Headteacher

The Headteacher 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.

The external adviser should have recent significant senior leadership experience in the relevant sector.

In this school the task of appraising the Headteacher, including the setting of objectives, will be delegated to a sub-group consisting of *two/three (delete as appropriate)* members of the Governing Body.

Where a Headteacher is of the opinion that any of the Governors appointed by the Governing Body under this regulation is unsuitable for professional reasons, he/she may submit a written request to the Governing Body for that Governor to be replaced, stating his/her reasons.

13. Appointment of external advisers for Headteacher appraisals

The Governing Body will appoint an external adviser to provide advice and support in relation to the appraisal of the Headteacher.

14. Objective setting for Headteachers

The Governing Body will consult the Headteacher and external adviser before setting the Headteacher's objectives.

15. Equality Impact Assessment

The Governing Body is satisfied that the terms of this policy will not impact adversely on members of staff who have a protected characteristic within the

meaning of the Equality Act 2010. Refer to the Equality & Diversity policy for Equality Impact Assessment form.

The Governing Body is committed to promoting equality and will ensure that the appraisal process is fair and non-discriminatory and that monitoring pay data will be included in the Headteacher's annual report to Governors covering each of the protected characteristics within the Equality Act 2010. This will enable identification of any trends with a view to avoiding (whether intentional or otherwise) any discrimination in the way the appraisal and recommendations for pay progression are implemented.

The Headteacher will also report on whether there have been any appeals or representation on an individual or collective basis on the grounds of alleged discrimination under any of the protected characteristics.

16. Review of the Policy

The Governing Body will review the Appraisal Policy every school year at its Autumn meeting.

The Governing Body will take account of the Headteacher's report in its review of the Appraisal Policy. The Policy will be revised as required to introduce any changes in regulation and statutory guidance to ensure that it is always up to date.

The Governing Body will seek to agree any revisions to the policy with the recognised trade unions having regard to the results of the consultation with all teachers. They will also give due consideration to any revisions consulted on by the Local Authority with teacher Professional Association representatives on their behalf.

To ensure teachers are fully conversant with the appraisal arrangements, all new teachers who join the school will be briefed on them as part of their introduction to the school.

17. Access to documentation

Copies of the School Improvement and Development Plan are published on the school's Intranet and/or can be obtained from the Head Teacher.

Copies of the Whole School Pay Policy, Appraisal Policy and School's Staffing Structure can be obtained from the School Business Manager.

A Copy of School Teacher Pay and Conditions Document is available from www.education.gov.uk and each teacher will be provided with a copy of the Professional Standards for Teachers and other documentation used for assessment.

Appendix 1

Template report to the **pay committee** on performance management and pay of a group of teachers

This form can be used to provide a summary of the performance of a group of teachers. It can also be used to state whether a pay recommendation has been made for each teacher.

The form includes space to indicate:

- The name of each teacher
- His/her current salary point
- The extent to which his/her appraisal objectives have been met ('Not met', 'Partly met', 'Met' or 'Exceeded')
- The extent to which the Teachers' Standards have been met ('Not met', 'Partly met', 'Met' or 'Exceeded')
- Whether there has been a recommendation for pay progression

As the completed form will include information for specific named teachers, it should not be shared with the full Governing Body, but presented to the Governing Body's pay committee.

Report on performance management and pay

Name of teacher	Current salary point	Performance against appraisal objectives	Performance against the Teachers' Standards	Pay recommendation

Appendix 2

Performance management: template report to pay committee and pay recommendation form for an individual teacher

This form can be used to provide a summary of the performance of an individual teacher. It can also be used to state whether a pay recommendation has been made for each teacher.

The form includes space to indicate:

- The name of the teacher
- His/her current salary point
- His/her performance objectives and the extent to which these have been met
- The extent to which the Teachers' Standards have been met
- An overall grade from lesson observations
- An overall comment on performance, including what training and support has been provided
- Whether pay progression has been recommended

This form includes information on a specific teacher. This should only be presented to the Governing Body's pay committee. However, schools can anonymise the information if they wish to present it to the full Governing Body.

Summary of a teacher's appraisal report for the Governing Body's pay committee

Name of teacher	Current salary point			
	Not met	Partly met	Met	Exceeded
1.				
2.				

3.				
4.				
Performance against the Teachers' Standards	Not met	Partly met	Met	Exceeded
Lesson observations overall grade				
Overall comments (including support and training provided and whether performance needs improvement, is improving, is good or outstanding):				
Pay Recommendation:				

Appendix 3

Template summary performance management report to the Governing Body

The form is intended to be used to provide anonymous information, and includes space to summarise the performance of the following groups of teachers:

- Mainscale: M1 – M3 teachers
- Mainscale: M4 – M6 teachers
- Upper pay scale teachers
- Leading practitioners
- Leadership group teachers

The report includes columns for reporting on the:

- Number of teachers in each pay range
- Percentage of teachers in each pay range
- Percentage of teachers who are meeting their appraisal objectives
- Percentage of teachers who are meeting the Teachers' Standards
- Percentage of teachers whose lessons have been judged to be 'good' or 'outstanding'

Summary of performance

Category of teacher	Number of staff in pay range	Percentage of staff in each pay range	Percentage meeting appraisal objectives	Percentage meeting the Teachers' Standards	Percentage whose lessons have been judged to be good or outstanding
M1–M3 teachers					
M4–M6 teachers					

Upper pay scale teachers					
Leading practitioners					
Leadership group teachers					

Teachers who are on maternity or long-term disability or sickness absence

The Department for Education has produced advice for schools on the following areas in relation to performance appraisal;

- *The appropriate use of evidence when making appraisal and pay decisions*
- *How to appropriately manage pay decision appeals*
- *How to ensure your equalities responsibilities are being met when making decisions about or relating to pay.*

In particular, it provides specific advice on **Teachers who are on maternity or long-term disability or sickness absence** (*Section ii of the Equalities considerations as part of the appraisal and pay determination process*)

Where a teacher is away from school because of maternity leave, it is unlawful for the school to deny that teacher an appraisal and subsequent pay progression decision **because of** her maternity. When a teacher returns to work from maternity leave, the school must give her any pay increases that she would have received, following appraisal, had she not been on maternity leave.

Schools need to take a practical and flexible approach to conducting appraisals and making pay decisions for those absent on maternity leave, including where a teacher has been absent for part or all of the reporting year.

- 1) Schools should consider conducting appraisals prior to individuals departing on maternity leave, even if this is early in the appraisal year, and basing any appraisal and pay determination on the evidence of performance to date in that appraisal year.
- 2) Account could also be taken of performance in previous appraisal periods if there is very little to go on in the current year. However, schools should not require teachers to use Keeping in Touch (KIT) days for the purposes of appraisal.

Reasonable adjustments should be made to give a teacher who is absent for disability related reasons an equal opportunity to participate in appraisal and to access pay progression. While there is no equivalent of the “maternity equality clause” (i.e. the clause that deems a woman to have received a pay rise to which she would have been entitled had she not been on maternity leave) in the Equality Act, schools should consider utilising the same range of options outlined above for teachers on maternity leave.

When a teacher returns to work following a disability related absence, the school must not refuse a pay increase that the teacher would have received, following appraisal, had he or she not been absent for a reason related to disability, if the reason for the refusal is the teacher’s disability or the refusal cannot be objectively justified.

Flowchart Performance Appraisal Policy for Teachers

