



<INSERT SCHOOL NAME>

Teachers Appraisal Policy

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Signed by the Chair of Governors:

Date:

Date to be reviewed:

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1 Purpose

- 1.1 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, including pupil progress, and the standards expected of teachers. It also sets out the arrangements that will apply when teachers fall below the levels of competence that are expected of them.
- 1.2 The policy covers appraisal, **applies to the headteacher and to all teachers employed by the school, except those on contracts of less than one term, those undergoing induction (i.e. ECT's) and those who are subject to the school's capability policy.**
- 1.3 Throughout this policy, unless indicated otherwise, all references to 'teacher' include the headteacher.
- 1.4 Appraisal in this school will be a supportive and developmental process designed to ensure that all teachers have the skills and support they need to carry out their role effectively. It will help to ensure that teachers are able to continue to improve their professional practice and to develop as teachers.
- 1.5 The appraisal system should allow headteachers and teachers to engage in a professional dialogue that respects the professionalism of all concerned.
- 1.6 This policy should be read in conjunction with the school's pay policy which provides details of the arrangements relating to teachers' pay in accordance with the School Teachers Pay and Conditions Document. There is also a Managers Guide that should also be considered in the application of this policy.
- 1.7 This policy is governed by The Education (School Teachers' Appraisal) (England) Regulations 2012 and the School Staffing (England) Regulations 2009 and **Text in bold** indicates statutory requirements contained in the Appraisal Regulations or the School Staffing Regulations or the School Teacher pay and Conditions Document ("STPCD").

2 The Appraisal Period.

- 2.1 The appraisal period will **run for twelve months** from 1st September to 31st August.
- 2.2 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.**
- 2.3 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.
- 2.4 When teachers join the staff of the school part way through the year their appraisal period will be determined by the length of the remaining portion of the year which they serve. If this is less than one term, they will not be appraised against pupil progress, but they may be appraised against the relevant standards. Such teachers will be part of the normal appraisal cycle the following school year.
- 2.5 When a teacher transfers to a new post within the school during the school year it will be for the headteacher, or in the cases where the employee is the headteacher, the Governing body shall determine the length of the first cycle for that teacher, with a view to bringing his/her cycle into line with other teachers as soon as possible or whether the cycle shall begin again, depending on the post, responsibility etc.

3 Appointing Appraisers

- 3.1 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.**
- 3.2 The headteacher will have the right to appeal against the choice of governor(s) identified as their appraiser(s) and/or the choice of external adviser, on grounds of unsuitability.
- 3.3 The headteacher will decide who will appraise other teachers.
- 3.4 All appraisers will be qualified teachers with current or recent teaching experience.
- 3.5 Where a teacher has objections to the appointed appraiser, these should be put in writing to the headteacher who will give due consideration to the concerns raised, including whether an alternative appraiser is required, and respond to the teacher accordingly.

4 Setting Objectives

- 4.1 **The headteacher's objectives will be set by the subgroup of the Governing Body after consultation with the headteacher and the external adviser.**
- 4.2 **Objectives for each teacher, including the headteacher, will be set before or as soon as practicable after, the start of each appraisal period.**
- 4.3 **All teachers should be assessed against a set of standards known as the 'Teacher Standards' Each teacher will be informed of the standards against which that teacher's performance in that appraisal period will be assessed and the objectives set for each teacher will be linked to the relevant standards.** The number of objectives set would normally be a maximum of three.
- 4.4 **Objectives will be set as such that if they are achieved, they will contribute to improving the education of our pupils and the Schools Improvement Plan.**
- 4.5 The teacher will be given a written statement of the objectives. Every endeavor will be made to do so within 5 working days of the meeting. If the objectives are altered at any time in the year, then the teacher will be issued with an amended statement. The planning and review statement will include a clear understanding of what the objectives, clear expectations of outcomes and timeframes including planned dates of observations.
- 4.6 The objectives will contain a description of what success may look like although external factors can always affect outcomes.
- 4.7 **The objectives set for each teacher will, if achieved, lead to pay progression on the appropriate scale and will contribute to the school's plans for improving the school's educational provision and performance and improving the education of pupils at this school.**
- 4.8 For teachers who are qualified teachers by virtue of holding QTLS status, it is for the headteacher to decide which standards are most appropriate. Such teachers may be assessed against the Teachers' Standards, against any other sets of standards issued by the Secretary of State, against any other professional standards relevant to their performance or any combination of those three.
- 4.9 The headteacher will be responsible for ensuring that the appraisal process operates consistently, that objectives are focused on school priorities and that they take account of the standards audit.
- 4.10 If the appraisee, including the headteacher, objects to the outcomes of their appraisal in terms of anything written in their appraisal report, or any pay recommendation, they may appeal to the Governing Body under the existing procedures.
- 4.11 Teachers who are found not to be meeting standards at the appropriate level by the annual standards audit ([Appendix 3](#)) may be given additional short-term objectives, as part of a supportive action plan, to ensure that the most appropriate support can be provided. Teachers will be expected to show significant progress relevant to the stage in their career, against the relevant standards.

5 Reviewing Performance

- 5.1 Performance should be reviewed holistically.
- 5.2 Teachers, including the headteacher, with responsibilities outside the classroom, should expect to have their performance, of those responsibilities observed and assessed.
- 5.3 The school will use information collected from each observation, including appraisal observations, for other leadership and management requirements thereby seeking to minimise disruption and reduce bureaucracy.
- 5.4 Detailed arrangements for the observation of classroom and leadership practice, ‘drop ins’ and other evidence gathering are set out in [Appendix 4](#), the observation protocol.

6 Development and Support

- 6.1 Appraisal is a supportive process which will be used to inform continuing professional development (“CPD”). The school wishes to encourage a culture in which all teachers take responsibility for improving their teaching through appropriate professional development.

7 Feedback.

- 7.1 Teachers will receive constructive feedback as part of directed time on their performance throughout the year by termly interim appraisal review meetings and within 5 working days after observation has taken place or other evidence has been gathered.

8 Teachers Experiencing Difficulties.

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

- 8.2 If the appraiser is satisfied that the teacher has made, or is making, sufficient improvement during the National Teacher¹ Standards Support Programme, the teacher will be informed at a formal meeting with the headteacher, their representative from the leadership team, or the appraiser, that capability procedures are unlikely to be required and that the appraisal process will continue as normal, with any remaining issues continuing to be addressed through that process.
- 8.3 In cases where concerns are regarding the performance of the headteacher. The Governing Body must discharge its duties in accordance with regulation 6 of the School Staffing Regulations 2009.

9 Transition to Capability.

- 9.1 If, even after the appraisee has been offered additional support including through the National Teacher² Standards Support Programme ([Appendix 5](#)), there is no progress or insufficient progress has been made, the teacher will be invited to a transition meeting, with at least 5 working days' notice, where it will be determined whether formal capability

¹&⁵ Teacher standards refers to the 'Teacher Standards' published by the Secretary of State in July 2011; and any other set of standards relating to teachers' performance published by the Secretary of State as the governing body, headteacher or local authority (as the case may be) determines as being applicable to the performance of that teacher

proceedings need to be commenced or the appraisal process remains in place. The teacher may be assisted by a trade union representative or work colleague at this meeting.

10 Annual Assessment.

- 10.1 Each teacher's performance will be formally assessed in respect of each appraisal period. In assessing the performance of the headteacher, the Governing Body will consult the external adviser as referred to in clause 3.1.
- 10.2 This assessment is the end point to the annual appraisal process, but performance and development priorities will be reasonably reviewed and addressed on a regular basis throughout the year.
- 10.3 Within two months of the end of each appraisal period, **the teacher will receive** and have the opportunity to comment in writing on **a written appraisal report**.
- 10.4 This report will be presented and discussed at the annual review meeting which will also serve as the starting point for the next cycle.
- 10.5 The assessment of performance and of training and development needs will inform the planning process for the following appraisal period.
- 10.6 Any recommendations on pay will be referred to the headteacher before being referred on to the Governing Body.
- 10.7 For appeals see 4.10.

11 Confidentiality.

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

12 Equality and Consistency.

- 12.1 As outlined in paragraph 4.9 above, the headteacher will have overall responsibility for the quality assurance of the appraisal process across the school. This will include ensuring the consistency and equality of application of the process throughout the school. The headteacher may delegate responsibility for monitoring consistency and equality of application to a teacher member of the senior management team.
- 12.2 The headteacher will be responsible for reporting annually to the governing body on any relevant issues, including those of underperformance, the provision of support including CPD, and any resourcing problems arising from the annual review cycle and on any action required to address those issues. The report will enable governors to receive an overall

general report of the process but will not include specific details relating to individual members of staff.

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

13 Retention of Statements.

- 13.1 The Governing Body and headteacher will ensure that all written appraisal records are retained in a secure place for six years and then destroyed.

14 Appeals.

- 14.1 Appraisees have a right of appeal against any of the entries in the written appraisal report. Details of the appeals process are available from the headteacher or from the school governing body.

15 General Principles underlying this policy.

15.1 ACAS Code of Practice for disciplinary and grievance.

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

15.2 Department for Education – Implementing your schools’ approach to pay.

- 15.2.1 The Governing Body will consider advice issued within this document.

15.3 Consistency of Treatment and Fairness

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

16 Sickness

- 16.1 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 attendance management 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 considered before a decision is reached.

17 Grievances

- 17.1 Where a member of staff raises a grievance during the appraisal or capability process, the appraisal or capability process may be suspended temporarily 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.

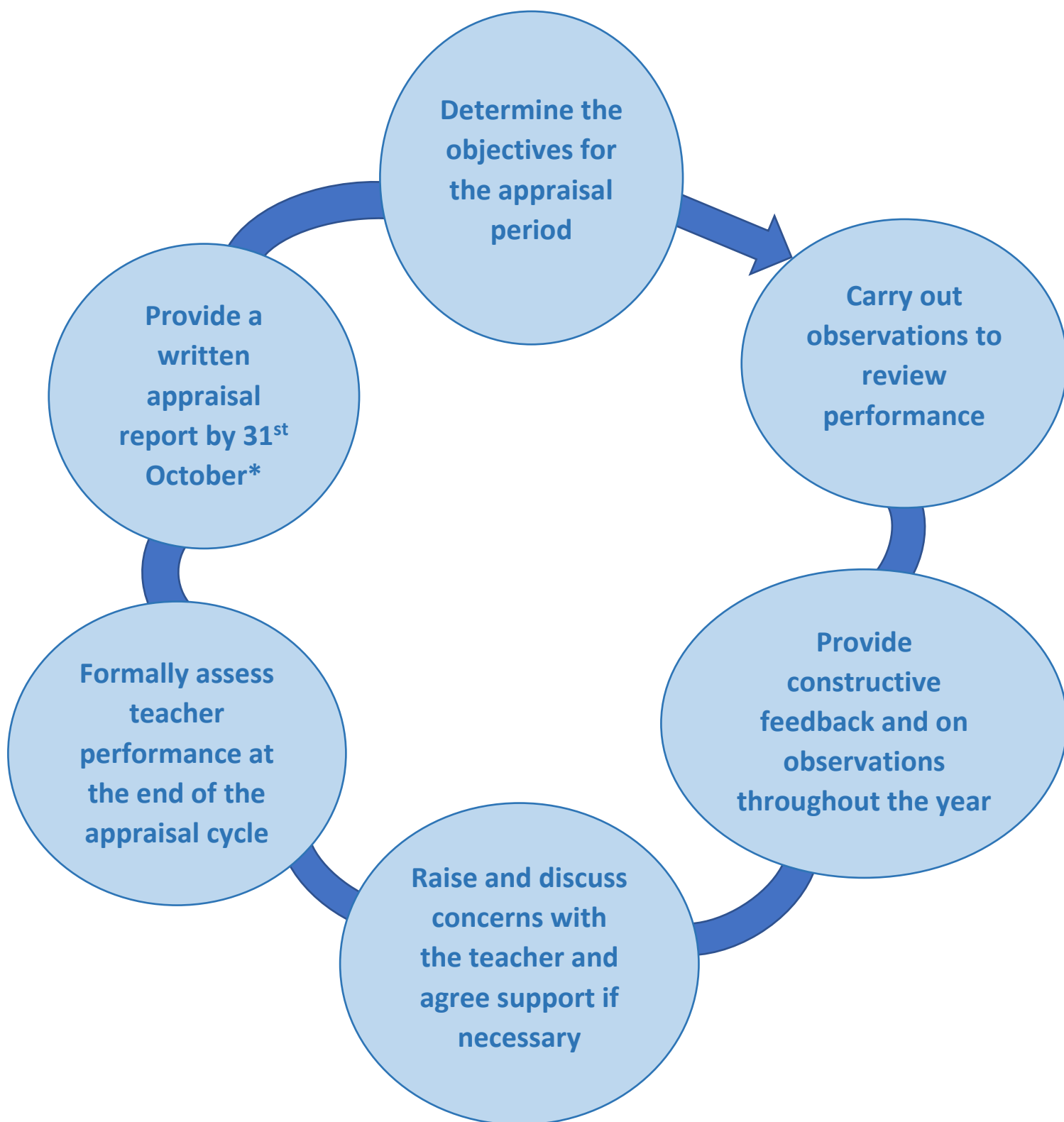
18 Confidentiality and Professional Relationships.

- 18.1 The appraisal and capability processes will be treated confidentially. 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.
- 18.2 The process of gathering evidence for performance review will not compromise normal professional relationships between teachers.
- 18.3 However, the desire for confidentiality does not override the need for the headteacher and governing body to quality-assure the operation and effectiveness of the appraisal system.

19 Monitoring and Evaluation

- 20 The governing body and headteacher will monitor the operation and effectiveness of the school's appraisal arrangements.
- 21 The headteacher will provide the governing body with a written report on the operation of the school's/academy's appraisal and capability policies annually. The report will not identify any individual by name. The report will include an assessment of the impact of these policies on:
- Race
 - Sex
 - Sexual Orientation
 - Disability
 - Religion and Beliefs
 - Age
 - Part-time Status
 - Maternity and Pregnancy
- 22 The headteacher will report on whether there have been any appeals or representations on an individual or collective basis on the grounds of alleged discrimination.

Appendix 1. Appraisal cycle at a glance.



Appendix 2 Teacher 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.
- if teaching early mathematics, demonstrate a clear understanding of appropriate teaching strategies.
- 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.

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 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.

Appendix 3 – Procedure for Conducting National Teacher Standards

Audits

1. The aim of the annual audit against national teacher standards, as required by the regulations, will be to identify – through professional dialogue - the standards which represent the most appropriate areas for professional development for individual teachers in the forthcoming appraisal cycle. Wherever possible, these audits will take place in the Summer Term, so that the most helpful professional development performance management objectives can be identified – and any necessary arrangements made – in good time for the new school year.
 2. The 2012 Appraisal Regulations [Para 6 (a)] require headteachers “**to inform the teacher of the standards against which the teacher’s performance in that appraisal period will be assessed**” It follows from this that the school needs to adopt a fair and evidence-based procedure for deciding whether standards are met. The headteacher has a key role to play in ensuring that judgments are consistent across the school.
 3. The key stages of the procedure are as follows:
 - a. Time will be provided for teachers to conduct a self-audit against the National Teacher Standards (Preamble, Part 1 and Part 2) at the level expected for their career stage.
 - b. Each teacher’s appraiser paired with the headteacher/appropriate senior leadership team member will complete the audit in the same way. Wherever this pair indicates that performance may not be at the level required, it will need to be able to back this up by reference either to written evidence previously shared with the teacher suggesting a standard is not met or to a lack of evidence allowing a judgment to be made that it is.
 - c. The audits will then be exchanged. At least a week will be allowed for the teacher to assemble any necessary evidence.
 - d. Teacher and appraiser will then attend a 45-minute Professional Dialogue meeting. The aim of the meeting will be to agree the standards against which the teacher’s performance will be assessed in the next appraisal cycle. Where the initial audit (or examination of evidence at the Professional Dialogue meeting) results in agreement that all relevant standards are met, the teacher will be free to identify the national teacher³ standard against which he or she would like to be assessed by means of the professional development objective. Where the initial audit (or examination of evidence at the Professional Dialogue meeting) results in agreement that particular standards are not met, these standards will become those against which the teacher’s performance will be assessed in the next appraisal cycle.
 - e. Where teacher and appraiser cannot reach agreement on whether a standard is met, the matter will be referred to the headteacher, who will meet with the teacher, consider all available evidence, and inform the teacher of his or her decision.
 - f. A teacher dissatisfied with the headteacher’s decision will have the right of appeal to governors under existing procedures.
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Appendix 4 – Observation of Teaching and Leadership Practice – School Protocol

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

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.

Formal Lesson Observations.

Teachers, under normal appraisal circumstances will have up to 3 lesson observations in the course of the appraisal cycle that will not exceed a maximum of 3 hours.

Other Leadership Visits to Lessons including ‘Learning Walks and drop ins’

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

Such visits should be carried out to collect evidence about teaching and learning, evidence of progress and areas for school improvement. They are intended to be developmental and constructive rather than judgemental and are a whole school improvement activity.

If any aspect of classroom practice seen during leadership visits gives cause for concern, the teacher will be informed so that, if necessary, further investigation may be undertaken and/or additional lesson observations arranged.

For visits that require further investigation and/or additional lesson observations being arranged, those visit and any subsequent visits will make up part of the lesson observations detailed in this protocol.

If this further investigation leads to a decision that a national standard is not met at the appropriate career stage, the special support arrangements set out in Appendix 5 will apply.

Formal Observation of Leadership and Management Practice

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

Scrutiny of pupils’ work

This will include a scrutiny of pupils' books.

Gathering other evidence

Other evidence will include pupil progress data.

Appendix 5: Provision of Additional Support Where National Teacher Standards Are Not Met – (National Teacher Standards Support Programme)

1. Where teachers experience difficulties in meeting national teacher standards at the appropriate stage in their career, a special Programme of support known as the National Teacher Standards Support Programme may be undertaken at the discretion of the headteacher. When this situation becomes apparent during an appraisal cycle and leads the head to conclude that national teacher standards are not being met at the appropriate level for the stage of their career and the formal support Programme is appropriate, these new arrangements, including a change of reviewer, will come into force as soon as possible after the decision has been made. Arrangements will include:
 - a. The appointment of an appraiser from the senior leadership team
 - b. The definition of an appropriate action plan, with support, which will include relevant improvement objectives and show how progress will be monitored and reviewed.
 - c. Support which may take the form of; coaching, mentoring, training, in-class support, structured observations, peer support, observation of other classes, focus visits to other schools, support from advisors)
2. If the headteacher identifies through the appraisal process, or via other sources of information, for example parental complaints, that the difficulties experienced by a teacher are such that, if not rectified, they could lead to capability procedures the appraiser, the headteacher, or a member of the leadership team, will, as part of the appraisal process will meet the teacher to:
 - a. give the teacher at least 5 working days' notice that a meeting will be held to discuss targets for improvement alongside a Programme of support, and inform the teacher that he/she has the right to be assisted by a representative of an independent trade union or workplace colleague, and at any future meetings where capability will be discussedAt the meeting, the headteacher will:
 - b. give clear written feedback to the teacher about the nature and seriousness of the concerns.
 - c. give the teacher the opportunity to comment on and discuss the concerns.
 - d. in consultation with the teacher establish an action plan of support that will help address those specific concerns (for example coaching, training, in-class support, mentoring, structured observations, visits to other classes or schools or discussions with advisory teachers).
 - e. make clear how progress will be monitored and when it will be reviewed.
 - f. explain the implications and process if no, or insufficient improvement is made.
3. The teacher's progress will continue to be monitored as part of the National Standards Support Programme, and a reasonable time given for the teacher's performance to improve. This will depend upon the circumstances but will normally be for a period of 5 weeks, with appropriate support as agreed in the Action Plan, in order that the aim of recovering and improving performance can be achieved. During this monitoring period, the teacher will be given regular feedback on progress and arrangements will be made to modify the Support

Programme if appropriate. At the end of the period one of the following decisions will be made by the headteacher based on progress

- a. To end the Support Programme and resume normal appraisal arrangements.
 - b. To continue to provide support within an action plan which may involve setting further short-term objectives.
 - c. To suspend appraisal and move immediately into the school's capability procedure.
 - d. Normal appraisal procedures will only be resumed if there is no longer a possibility of capability procedures being invoked during that appraisal cycle.
4. Where a decision to end the Support Programme has been taken but performance drops again within 12 months, the teacher will move immediately back into the revised appraisal arrangements outlined above. In exceptional circumstances the headteacher may decide to move straight to the school's capability procedure at this stage
5. 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.

Appendix 6 Appraisal Report Template.

Planning Meeting.

School:	
Appraisee:	
Appraiser:	
Appraisal Period:	
Date of Meeting:	

Objectives	
1	
2	
3	

Standards linked to objectives	
1	
2	
3	

Support (as appropriate)
Training and Development (as appropriate)

Eligibility for Pay Progression (if successful)	Yes		No	
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Notes from Professional Dialogue.

Appraisee Signature: _____

Appraiser Signature: _____

