



## Performance Management (Appraisal) Policy

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## **1. Introduction – Purpose of the Policy**

In this Federation we are committed to continually improve the quality of teaching and learning for all our pupils and we believe that appraisal will assist our staff to achieve this aim through clarity of role and expectations, encouragement, development and feedback.

We believe that appraisal will enable a professional discussion to take place regarding workload and priorities and will give staff the appropriate focus, development and support. It will also provide staff with an opportunity to discuss in confidence any matters regarding their employment at work that may inhibit their performance.

This policy sets out the principles and framework for a clear and consistent appraisal of the overall performance of all staff and for supporting their development needs within the context of the Federation plan for improvement and their own professional needs.

This policy also sets out the Federation's approach to the link between the appraisal process and pay progression.

## **2. Principles**

We will implement our appraisal arrangements on the following principles:

- *Equality of Opportunity:* All staff should be encouraged and supported to achieve their potential through clarity of expectations and job role, regular feedback, performance review and provision of relevant development
- *Consistency of Treatment and Fairness:* We will take action to ensure our performance appraisal process is fair, non-discriminatory and that staff are treated consistently
- *High Standards:* We believe by setting appropriate and challenging standards of performance and providing suitable feedback and development all staff have the potential to continually improve their performance
- *Work – life balance:* All staff are entitled to a satisfactory work – life balance and performance appraisal is an appropriate mechanism to facilitate this
- *Pay and Rewards:* Pay progression for staff should reflect their overall contribution to the Federation both as individuals and as team members.

## **3. Application of the Policy**

This policy applies to all staff employed in this Federation with the exception of teachers undergoing their formal year of induction or on contracts of less than a year. The operation of this policy will be suspended for any staff whose performance merits the application of the Federations' formal competency procedure.

Performance appraisal arrangements for temporary and part – time staff, including job-sharers, should apply on the same principles as for full-time, substantive staff. The same degree of challenge in the process should apply but the breadth and volume of each element in the process should be proportionate to the period of time worked.

Teachers employed on a fixed term contract of less than one year, will have their performance managed in accordance with the principles underpinning the provisions of this policy. The length of the cycle will be determined by the duration of their contract.

The intention is that all staff will have equivalent access to appraisal, development and support.

## **4. Policy Framework**

### **4.1 General**

Performance appraisal is a shared responsibility. The Governing Body has the strategic responsibility for establishing this policy, providing the Executive Head with the support to ensure it is fully implemented and ensuring the Headteacher receives appropriate performance appraisal in order to set the right framework and culture for all staff in the Federation.

The Executive Head will ensure that this policy, associated regulations and guidance are communicated effectively and that staff with performance appraisal responsibilities have access to appropriate training and preparation.

#### **Greatstone Primary School & Repton Manor Primary School Teachers**

The performance of all staff must be reviewed on an annual basis. Appraisal planning and reviews must be for all teachers in this Federation and this will be completed by 31 October, in any one academic year and by 31 December for the Executive Head/Head of School/Deputy Heads/Inclusion Director.

#### **Greatstone Primary School Support Staff**

The appraisal reviews for all support staff will be completed annually in line with the financial year ending on 31st March in each year.

#### **Repton Manor Primary School Support Staff**

The appraisal reviews for all support staff will be completed annually in line with the academic year ending on 31st August in each year.

Where a member of staff starts their employment at the Federation part-way through a cycle, the length of the first performance appraisal process will be such that the cycle can be brought into line with the appraisal process for that group of staff at the earliest opportunity.

Where a member of staff transfers to a new post within the Federation part-way through a cycle, the Headteacher shall determine whether the cycle shall begin again and whether to change the Appraiser.

All staff must have an up to date job description and this will form the basis for discussion at the appraisal planning and review meeting. Staff should have access to the Federation Plan for Improvement and other relevant planning documents in good time for their appraisal meeting. Where it appears that the Appraisee is either not meeting or partially meeting the relevant professional standards then the appraisal process must clearly set out the support and training that will be provided to address the areas of concern.

Where serious weaknesses are identified in an Appraisee's performance then this procedure should cease and the issues will be managed within the Federation's formal capability procedure. The appraisal process will be re-commenced when the Appraisee's performance has reached the required standards.

### **4.2 Appointing Appraisers**

The Executive Head will be appraised by the Governing Body, supported by a suitably experienced and qualified External Advisor who has been appointed by the Governing Body for that purpose.

In this Federation the task of appraising the Executive Head, including the setting of objectives, will be delegated to a sub-group of two/three members of the Governing Body.

The Executive Head will determine the appropriate Appraiser for all staff covered by this policy taking due consideration of line management responsibilities and other relevant factors.

If a member of staff has a concern regarding their allocated Appraiser then this should be communicated to the Executive Head, in writing, stating the reasons. The Executive Head will exercise careful consideration of the concerns and may allocate an alternative Appraiser.

The Executive Head will ensure all Appraisers receive appropriate training and preparation for their role.

### **4.3 The Appraisal Meeting**

It is the responsibility of the Appraiser to arrange the meeting with their Appraisee at the beginning of the cycle. This should be arranged by mutual agreement and normally with at least five working days' notice. The Appraiser must prepare for the meeting and ensure all relevant information and evidence that will be used during the meeting has been shared with the Appraisee at the earliest possible opportunity.

The Appraisal meeting should provide a two-way discussion to:

- Assess performance during the previous year against the Appraisee's role and responsibilities, including performance objectives and any relevant standards
- Agree expectations for the year ahead by reviewing job description and appropriate performance objectives
- Confirm timescales for achievement of the objectives and for provision of support, including development
- Ensure the Appraisee understands the performance criteria, including relevant pay progression criteria, relevant professional standards and any other appropriate evidence to be taken into account in appraising performance including potential barriers to success
- Discuss and agree appropriate monitoring arrangements and other support for the Appraisee, including classroom observations, if appropriate to the reviewee's role
- Agree any areas of relevant training and development and related actions
- Allow the reviewee to raise any issues or concerns regarding their workload or work - life balance and potential barriers to success.

It is the appraisee's responsibility to play an active role in their review. This includes preparing for the meeting by:

- Reflecting on their performance over the past year including their performance against the relevant professional standards
- Considering how they have made a wider contribution to the Federation, and
- Identifying some of their future development needs.

Self-review is an important means of preparing for an appraisal meeting and a suggested framework for this is set out in Appendix 1.

### **4.4 Appraising Performance**

All staff will be formally assessed in respect of each appraisal period. In assessing the performance of the Executive Head, the Governing Body will consult the external adviser.

Each member of staff will receive a written appraisal report as soon as practicable and within ten working days following the appraisal meeting and have the opportunity to comment in writing. The appraisal report will include:

- Details of objectives for the appraisal period in question
- An assessment of performance of role and responsibilities against objectives and any relevant standards
- An assessment of training and development needs and identification of any action that should be taken to address them
- A recommendation on pay where this is relevant.

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

#### **4.5 Links with Pay**

Before, or as soon as practicable after the start of each appraisal period all staff will be informed of the standards and criterion against which individual performance in that appraisal will be assessed and on which pay decisions will be based. The criterion used must be consistent with any national or KCC determined requirements.

Where the evidence from the appraisal process appears to suggest the appraisee's performance could be below that meriting pay progression at the end of the cycle, the appraisee should be made aware of this at the earliest opportunity. There should also be a professional discussion to identify actions which could remedy the position.

#### **4.6 Objectives**

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

All Appraisees must have performance objectives set before, or as soon as practicable after, the start of each appraisal period. All objectives must be relevant to the Appraisee's role, responsibilities and take full account of their experience and career/professional aspirations. The number and nature of objectives must be reasonable and, if achieved will contribute positively to the education of pupils at this Federation and the implementation of any plan designed to improve the Federation's educational provision and performance.

Normally an appraisee would expect to have 3 objectives (whole Federation, team / department and professional development). Staff with a wider role across the Federation, including teachers with or without a TLR, members of the leadership team and the headteacher, would normally expect to have one or additional objectives in the relevant area.

Appraisees should be encouraged to set challenging but achievable objectives using the term SMART (specific, measurable, achievable but challenging, relevant and time-framed). Meeting or nearly meeting challenging objectives is a good way to show the level of performance required for pay progression and will also assist career development.

As far as possible the objectives should be reached by agreement. However where a joint determination cannot be made the Appraiser will make the determination with the provision for the appraisee to record any disagreement if required.

Consideration should be given to ensure that the appraisal objectives can be used to secure good evidence for pay progression in line with the expectations in the Federation's pay policy

#### **4.7 Training and Development**

Performance appraisal is a developmental process and a key part of the planning discussion. It should be about the support that the Appraisee will need in order to meet identified objectives and performance criteria.

This Federation is committed to ensuring that all staff have access to a level of development appropriate to their role, stage of career development, performance objectives and criteria and individual aspirations.

Development and training identified from the appraisal process must be recorded using the appropriate form and then passed to the Training and Development Coordinator for the Federation to inform the Federation's program for training and development.

This Federation recognises that development and support may take a number of forms and a wide range of activities which may not necessarily involve a formal course.

#### **4.8 Monitoring**

The Appraisee will ensure that appropriate arrangements are in place to support the Appraisee with regular monitoring and feedback. This should be discussed in broad, flexible terms in the appraisal meeting. There should be at least one formal mid year review meeting to discuss performance, provide feedback and discuss the provision of training and development.

The Executive Head should audit mid-year reviews with Appraisers to ensure consistency of appraisal assessments

There should be further, informal follow-up and support for Appraisees.

This Federation believes that observation of classroom practice and other responsibilities is important both as a way of assessing performance in order to identify any particular strengths and areas for development and of gaining useful information which can inform Federation improvement more generally. All observation will be carried out in a supportive fashion.

In this Federation teachers' performance will be regularly observed but the amount and type of observation will depend on the individual circumstances of the teacher and the overall needs of the Federation. Formal classroom observation will only be carried out by those with QTS. In this Federation teachers' performance will be regularly observed but the amount and type of observation will depend on the individual circumstances of the teacher and the overall needs of the Federation. Formal classroom observation will only be carried out by those with QTS.

In addition to formal observation, the Executive Head or other members of the SLT with responsibility for Teaching and Learning may "drop in" in order to enhance the standards of teaching and learning and to check that high standards of professional performance are established and maintained. The length and frequency of "drop in" observations will vary depending on specific circumstances.

#### **4.9 Recording Plans**

Within five working days of the meeting the Appraiser will complete a draft statement and provide the Appraisee copy. The Appraisee may request changes if he/she feels the statement does not convey a fair summary of the meeting and/or may add comments. The Appraiser will prepare and sign a final statement within ten working days of the initial meeting.

The Appraiser may retain a copy of the appraisal plan, but he/she must pass a copy to the Appraisee and pass the original to the Executive Head.

#### **5. Moderation**

The Executive Head is responsible for ensuring that performance appraisal is applied fairly and consistently across the Federation and that there is a strong link with Federation improvement. The Executive Head may therefore make appropriate arrangements for the moderation of performance appraisal reviews and objectives in particular to ensure consistency of approach

and expectations between Appraisers. However, this exercise will be undertaken with due regard for the need to maintain confidentiality.

## **6. Changes to Plans in Mid Cycle**

There may be occasions when it is necessary to amend or change the content of the appraisal plan. This may include changes in the Appraisee's circumstances, Federation priorities or local/national policy initiatives. In this event the Appraiser and Appraisee should discuss and ideally agree the necessary changes.

If there is no agreement to the proposed changes then the Appraiser shall amend the appraisal plan with any changes he/she thinks ought to be made and pass the revised statement to the Appraisee who may add his/her comments.

## **7. Confidentiality and Retention of Records**

The performance appraisal process will be treated with full confidentiality at all times.

For the Executive Head's review the statement will be held by the Chair of Governors, the Chair of the Review Committee (if not the Chair of Governors) and the Executive Head.

All plans and appraisal reports must be retained in a secure place on the Federation premises for a period of six years from the date the appraisal cycle ends. After this date it would be normal to dispose of these records and this must be done confidentially and the employee notified.

## **8. Communication of this Policy**

A copy of this policy will be kept electronically to ensure that all staff can have access to a copy of it as needed. All new staff joining the Federation will be briefed on the policy as part of their induction into the Federation.

## **9. Monitoring and Evaluation**

The Governing Body and the Executive Head will monitor the operation and outcomes of the performance appraisal arrangements.



**APPENDIX 1: Framework for Self-Review (\*Insert Federation document\*)**

**APPENDIX 2: Planning and Review Pro Forma (\*Insert Federation document\*)**

**APPENDIX 3: Protocol for Lesson Observation (\*Insert Federation document\*)**