

# Model Appraisal Policy

(Schools & Academies)

**September 2013**

## Document History

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Annual Review

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**Please note:**

This is a model policy for the effective appraisal staff in schools or academies.

This is a model policy that has been developed in partnership between key advisors from SPS and KCC's Education, Learning and Skills directorate. All trade unions and professional associations recognised by KCC have been consulted in the development of this policy.

Consequently, schools and academies considering using this model policy should ensure there is adequate consultation with their own school based trade union representatives.

The LA / KCC requires Community and Voluntary Controlled schools to use either this model policy or the national model developed and available from the DfE. It is expected that Foundation schools will not significantly depart from either of these documents. However, there are other model documents available to schools and academies to use as a reference in the drafting of their policy, for example from some trade unions/professional associations. SPS consultants will be able to fully support and advise a school or an academy irrespective of the policy/procedure that is adopted.

The ASPIRE Federation Governing Body adopted this performance management policy on 17 November 2020.

## 1. Introduction - Purpose of the Policy

In this school 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 school plan for improvement and their own professional needs.

This policy also sets out the school'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 school both as individuals and as team members.

### 3. Application of the Policy

This policy applies to all staff employed in this school 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 schools' 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 Headteacher 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 school.

The Headteacher 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.

The performance of all staff must be reviewed on an annual basis. Appraisal planning and reviews must be for all teachers in this school and this will be completed by 31 October, in any one academic year and by 31 December for the Headteacher. (Please note schools have discretion to set different timescales following local consultation and these should be stated in this policy)

The appraisal reviews for all support staff will be completed annually in line with the academic year/ending on 31st March in each year. (Please note schools have discretion to set different timescales following local consultation and these should be stated in this policy)

Where a member of staff starts their employment at the school 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 school 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 school 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 school'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 Headteacher 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 school the task of appraising the Headteacher, including the setting of objectives, will be delegated to a sub-group of two/three (delete as appropriate) members of the Governing Body.

The Headteacher 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 Headteacher, in writing, stating the reasons. The Headteacher will exercise careful consideration of the concerns and may allocate an alternative Appraiser.

The Headteacher 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 school, 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 Headteacher, 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. (*This should be clearly stated in the school's pay policy*)

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 Headteacher'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 school and the implementation of any plan designed to improve the school's educational provision and performance.

Normally an appraisee would expect to have 3 objectives (whole school, team / department and professional development). Staff with a wider role across the school, 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 school'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 school 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 school to inform the school's program for training and development.

This school 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 Headteacher 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 school 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 school improvement more generally. All observation will be carried out in a supportive fashion.

*(Schools are strongly encouraged to set out some clear but flexible ground rules regarding how observation is undertaken including arrangements for any notice and attach it as an appendix to this document. It would be good practice to indicate the amount of formal observation a teacher could reasonably expect during the year. Whilst there is no longer any statutory limit schools should ensure that the amount of formal observation is reasonable, proportionate and accounts for the needs of the teacher.)*

In this school 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 school. Formal classroom observation will only be carried out by those with QTS.

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In addition to formal observation, the Headteacher 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. *(Schools may wish to be more specific about "drop in" observations)*

## 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 Headteacher.

## 5. Moderation

The Headteacher is responsible for ensuring that performance appraisal is applied fairly and consistently across the school and that there is a strong link with school improvement. The Headteacher 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, school 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 Headteacher'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 Headteacher.

All plans and appraisal reports must be retained in a secure place on the school 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 in \*(location) to ensure that all staff can have access to a copy of it as needed. All new staff joining the school will be briefed on the policy as part of their induction into the school.

## 9. Monitoring and Evaluation

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

## 10. Review of Policy

This policy is effective from 17 November 2020 and the Governing Body will ensure the policy is reviewed no later than November 2021.

The policy may be revised at other times if necessary to take account of any statutory regulation or associated guidance or changes in policy by Kent County Council's policy.

SPS Review Date: September 2013

## APPENDIX 1: Head of School Appraisal

## APPENDIX 2: Support Staff Appraisal

## APPENDIX 3: Teaching Staff Appraisal

## APPENDIX 4: Observations, preparation and planning information

**NB** under the staffing regulations (2012) there is no longer a statutory requirement for schools to have a lesson observation protocol however it is strongly advised that a school or academy ensures that the purpose, principles and broad nature of the arrangements for observation and feedback are communicated to staff formally.