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# Appraisal Policy

**Person Responsible: Mireilli Forrest, Executive Headteacher**

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## **1. Introduction and scope**

This policy sets out our framework for a clear and consistent assessment of the overall performance of all our employees, including senior leaders, and for supporting their development within the context of our plan for improving educational provision and other goals, along with the performance and standards expected. It also sets out the arrangements that will apply when employees fall below the levels of competence that are expected of them.

This policy applies to all employees except those on contracts of less than one term, those undergoing induction (i.e., ECTs) and those who are subject to a formal capability process.

The appraisal process is intended to be a supportive and developmental process, designed to ensure that all employees have the skills and support they need to carry out their role effectively, and continue to improve in their personal and professional practice.

## **2. The appraisal period**

The appraisal period for all staff will run for twelve months from 1 September to 31 August.

Employees who are employed on a fixed term contract of less than 12 months will have their performance managed in accordance with the principles underpinning this policy.

## **3. Appointing the appraisers**

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

The task of appraising the Headteacher, including the setting of objectives, may be delegated to a sub-group consisting of two/three members of the Governing Board rather than the full Governing Board.

The Executive Headteacher will assign line managers who will appraise other employees; this will usually be in line with normal reporting structures unless otherwise directed.

Teaching staff will not be appraised or formally observed by anyone other than an individual holding Qualified Teacher Status (QTS). Support staff may be appraised by a member of the teaching staff, as outlined above.

## **4. Setting objectives**

It is important that the appraisal scheme focuses upon some clear objectives so that the effort it demands from both appraisers and appraisees can be directed towards specific outcomes. The benefits of appraisal in terms of improved communication and enhanced performance for all, will be achieved via the continuous commitment of all those involved.

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

Objectives for each appraisee will be set before, or as soon as practicable after, the start of each appraisal period. Some objectives may be set so that they run over a period of longer than a year. In which case, discussion will also cover the expected progress to be seen within the appraisal period.

In some circumstances, it may be possible to set objectives for the upcoming year in the same meeting that objectives are reviewed from the previous year.

The appraiser and appraisee will seek to agree the objectives but, if that is not possible, the appraiser will determine the objectives. Objectives may be revised if circumstances change.

The objectives set will, if achieved, contribute to our plans for improving educational provision and performance and wider education of our pupils. This will be ensured by quality assuring all objectives against the school improvement plan.

Some roles will also have national standards which form a core expectation of the standards that those fulfilling those roles will consistently meet. These standards will be considered as part of the review process and must be deemed to have been met for any performance cycle to be successful.

In the case of teachers, they will be assessed against the Teachers' Standards, against any other sets of standards issued by the Secretary of State, and against any other professional standards relevant to their performance.

Under normal circumstances appraisees will have a reasonable number of objectives which are relative to the role that they undertake. This will usually be between 3 and 6 objectives.

Some employees may be set one or more short term objectives that are possible to complete within a short time period, such as within a term. This may result in more objectives being set, but with the expectation that not all will apply to the entire year.

Employees who are found not to be meeting standards at the appropriate level may be given short term focused objectives to help structure areas of development as part of a performance improvement plan (PIP) to ensure that the most appropriate support can be provided. Guidance on this can be found in our capability policy.

## **5. Reviewing performance**

### **5.1. Observations**

We believe that observation of classroom, leadership and work practice and other responsibilities is important, both as a way of assessing employees' performance to identify strengths and areas for development, and as a way of gaining useful information which can inform school improvement more generally.

All observation will be carried out in a supportive fashion. For support staff, work scrutiny will be carried out by those with knowledge of the employee's work as far as reasonably practicable, this may be a line manager or nominated other.

Teacher performance will be regularly observed but the amount and type of classroom observation will depend on the individual circumstances of the teacher and the overall needs of the establishment.

Classroom observation will be carried out by those with a recognised professional QTS qualification.

Where non-teaching staff are delivering lessons, for cover or supervision purposes for example, lesson observations may be necessary to assess objectives where relevant.

Leaders may, as a matter of course, observe practice whilst walking around the site and visiting classrooms as part of their regular routine, although this activity will not form part of the individual's appraisal process. Teachers (including the Headteacher) who have responsibilities outside the classroom should reasonably also expect to have their performance of those responsibilities observed and assessed.

The amount of observation that takes place will not normally exceed 3 hours of formal observation in a particular appraisal cycle. Formal observation will usually be with prior notification, most likely agreed as part of objective setting.

Additional formal observation may be deemed necessary in circumstances where concerns arise such that it is felt appropriate to facilitate and monitor the effectiveness of management support. This would usually be explained at the time concerns are raised with an employee.

Formal observation outlined above excludes school reviews, Ofsted visits, learning walks with a specific focus e.g., pupil premium provision or a department review. The areas excluded cover circumstances where it is a whole school or department focus rather than an individual focus.

Informal drop in observations and wider school or department reviews will not result in formal outcomes being given. These are not documented for an individual employee and do not form part of a measure against an employee's annual appraisal. Anything identified as an issue outside of formal observation will be revisited in accordance with this policy and / or the capability policy as appropriate.

## **5.2. Development and support**

Appraisal is a supportive process which will be used to inform continuing professional development. It is intended to provide clear direction towards personal objectives and school improvement priorities, so that everyone can achieve their potential, gain maximum job satisfaction, and contribute towards our success.

We wish to encourage a culture in which all employees take responsibility for improving their learning and skills through appropriate professional development. Professional development will be linked to school improvement priorities and to the ongoing professional development needs and priorities of individual colleagues.

Discussions on such needs should focus upon genuinely assisting the appraisee in acquiring the relevant skills, knowledge, and behaviours (competencies) for them to perform well in their current role. Opportunities for advancement or alternative work may also be appropriate. This may be a focus that needs to look ahead for several years.

Employees will receive constructive verbal and written feedback on their performance throughout the year and as soon as practicable after observation has taken place or other evidence has come to light.

## **5.3. Feedback**

Feedback will highlight areas of strength as well as any areas that need attention. Where there are concerns about any aspects of the employee's performance the appraiser will meet the teacher formally to:

- give clear feedback about the nature and seriousness of the concerns.
- give the employee the opportunity to comment and discuss the concerns.
- 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, ensuring adequate time to demonstrate improvement is given.
- explain the implications and process if no, or insufficient, improvement is made.

When progress is reviewed, if the appraiser is satisfied that the employee 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.

## **6. Transition to capability**

If the appraiser is not satisfied with progress, the employee will be notified in writing that the appraisal system will no longer apply and that their performance will be managed under the capability procedure, and the employee will be invited to a formal capability meeting. The capability procedures will be conducted in accordance with the capability policy.

The formal appraisal process will be suspended if formal capability is commenced.

## **7. Annual Assessment**

Each employee's performance will be formally assessed in respect of each appraisal period. In assessing the performance of the Headteacher, the Governing Board recognises that it must consult the external adviser.

This assessment is the end point to the annual appraisal process, but performance and development priorities will be reviewed and addressed on a regular basis throughout the year by means of:

- professional dialogue
- lesson or task observations
- planning and work scrutiny
- termly meeting with appraiser
- mid-cycle review meeting with appraiser
- observation / scrutiny of leadership and management activities where appropriate
- other feedback obtained during the cycle relevant to the employee's overall performance.

As soon as practicable following the end of each appraisal period, the employee will receive, and have the opportunity to comment in writing on, a written appraisal report.

The appraisal report will include:

- details of the employees objectives for the appraisal period in question
- an assessment of the employees performance of their role and responsibilities against their objectives and the relevant standards
- an assessment of the employees professional development needs and identification of any action that should be taken to address them
- a recommendation on pay where that is relevant and in keeping with the Pay Policy, and relevant terms and conditions of employment.

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

Recommendations on pay will be referred to the Executive Headteacher before being submitted to the Governing Board for consideration.

Where appraisees and appraisers cannot reach agreement as to performance related increment (PRI) ratings / appraisal review outcomes or, for teachers, performance related pay (PRP) outcomes, the

matter will be referred to the Executive Headteacher (or to the member of senior staff with delegated responsibility for the process), who will meet with the appraisee, consider all available evidence, and inform the appraisee of their decision

Disputes concerning pay arising from the appraisal process will be dealt with through the appeal process set out in the Pay Policy, which may be here: [Pay Policy](#)

## **8. Confidentiality**

The appraisal processes will be treated with confidentiality and comply with the General Data Protection Regulation. However, the desire for confidentiality does not override the need for the Executive Headteacher and Governing Board to quality-assure the operation and effectiveness of the appraisal system.

## **9. Consistency of treatment and fairness**

The Governing Board is committed to ensuring consistency of treatment and fairness. It will abide by all relevant equality legislation, including the duty to make reasonable adjustments for disabled employees. The Governing Board is aware of the guidance on the Equality Act issued by the Department for Education.

The Executive Headteacher or appropriate colleague might review all objectives and written appraisal records personally, in order to check consistency of approach and expectation between different appraisers. The Executive Headteacher or appropriate colleague will also review pay recommendations that have been made.

The Executive Headteacher will be responsible for reporting regularly to the Governing Board on any relevant issues, including those of underperformance, 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.

## **10. Definitions**

Unless indicated otherwise, all references to “teacher” include the Headteacher

## **11. Delegation**

Normal rules apply in respect of the delegation of functions by governing bodies, headteachers and local authorities.

## **12. Monitoring and evaluation**

The Governing Board and Executive Headteacher will monitor the operation and effectiveness of the appraisal arrangements. This will include, but will not be limited to, monitoring of pay progression against protected characteristics (where known) as well as by pay range, full and part time, and contract type.

## **13. Retention**

The Governing Board and Executive Headteacher will ensure that all written appraisal records are retained in a secure place for six years and then destroyed.