



Appraisal Model Policy

Sefton Park Infant and Junior Schools

For schools and other establishments with a delegated budget –referred to in the policy as the school)



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1. Introduction

This policy sets out the framework to allow a clear and consistent assessment of the overall performance of staff at the school/establishment and for supporting their development needs within the context of the school's improvement plan, the Headteachers' standards, the teachers' standards and their own professional needs. To be effective, it is essential that proper time is allocated to employees and appraisers to undertake appraisal.

If delegated authority is withdrawn from the governing body of the school (or in the case of a Children's Centre, it is disaggregated) the decision-making power in this policy will pass to the Local Authority.

1a. Scope

The arrangements for the appraisal of teachers are under-pinned by statutory regulations. This policy meets the requirements of the law and best practice and has been designed to apply to all the staff employed at the school. This will minimise workload and ensure all staff have equal access to appraisal and continuous professional development.

The policy applies to the headteacher and all the staff employed by the school, except:

- Staff on contracts of less than one term;
- Teachers undergoing induction;
- Support staff in their probationary period; and
- those who are the subject of capability procedures.

This policy should be read in conjunction with the school's pay policy which provides details of the arrangements relating to teachers' pay, the Education (School Teachers' Appraisal) (England) Regulations 2012, the School Teachers Pay and Conditions document and associated DfE Guidance. In respect of support staff, the National Agreement places training and development of staff at the forefront of delivering effective services.

For staff who start their employment at the school part-way through the school's appraisal cycle, the headteacher will make appropriate arrangements for their performance to be managed during the remainder of the academic year.

For staff already employed at the school who transfer to a new post within the school part-way through a cycle, the headteacher will determine whether to begin the appraisal again and whether to change the appraiser, depending on the extent to which responsibilities and job description have changed.



1b. Training and Support

The governing body will ensure appropriate resources are identified in the school budget for any training and support agreed for appraisees.

The school's CPD programme will be informed by the training and development needs identified in the training annex of the appraisee's planning and review statement.

In the case of competing demands on the school budget for the provision of CPD, a decision on relative priority will be taken regarding 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. Employees should not be held accountable for failing to make good progress towards meeting their performance criteria where the support recorded in the planning statement has not been provided.

An account of the training and development needs of employees, 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 about the operation of the appraisal process in the school.

2. Pay Progression

2a. Support Staff

Pay progression is automatic until the maximum of the grade is reached unless the member of staff is the subject to formal capability proceedings.

2b. Teachers

For all staff paid under the STP&CD pay progression is automatic unless they are subject to formal capability procedures. .

Increments for all teaching staff can only be awarded with effect from 1 September in any academic year.

As per the School's Pay Policy, teachers on all pay ranges can be awarded an increase between the minimum and the maximum of the pay range until they reach the maximum of the range unless they are the subject of formal capability proceedings.



3. Key Roles and Responsibilities

3a. Governing Body

- To monitor the operation and outcomes of appraisal arrangements, and review the policy and its operation every year;
- to appoint three governors to annually review the headteacher's performance;
- to use an external adviser (through the LA School Improvement Team or other provider) to provide advice and support in relation to the management and review the performance of the headteacher;
- to ensure that resources are made available in the school budget for training and support identified in appraisee planning statements;
- if the headteacher makes a request for evidence from the appraisal process to be transferred if they transfer mid-cycle;
- ensure the content of the headteacher's planning and review statement is drafted, while having regard to the need to be able to achieve a satisfactory work life balance;
- to regularly review the process of moderation and quality assurance to ensure that the link between appraisal and pay can be applied consistently and the pay decisions can be objectively justified;
- to ensure that in planning the school budget, resources are identified to fund pay progression;
- to hear appeals in line with the school's procedures.

3b. Chair of Governors

The Chair of Governors will be a member of the committee that is established to review the headteacher's performance. The Chair of Governors will retain a copy of the headteacher's planning and review statement.

3c. Headteacher

- to ensure teachers are appraised in accordance with the school's appraisal policy and the relevant regulations;
- to maintain records of decisions and recommendations made, demonstrating that all decisions are made objectively and fairly, in compliance with equalities legislation;
- to report annually to the governing body on appraisal arrangements and on the training and development needs of staff;
- to put pay recommendations to the Governing Body and ensure they have sufficient information on which to make decisions;
- to play an active role in their own appraisal and professional development including taking action as agreed at review meetings;



- to act as performance appraiser to all staff who directly report to them, and, where appropriate, delegate the role of performance appraiser in its entirety. Ensure appraisers have the knowledge and skills to carry out appraisals;
- to retain copies of all review and planning statements and provide others with access to statements where appropriate;
- to take account of review outcomes in school improvement planning and ensure the school produces and resources an effective plan for the professional development of its workforce;
- to action any request from a teacher for evidence from appraisal to be transferred if a teacher moves school mid-cycle;
- to evaluate standards of teaching and learning and ensure proper standards of professional practice are established and maintained;
- to ensure that the planning and review statements are drafted having regard to the need for a satisfactory work life balance;
- to moderate all, or some, planning statements to ensure fairness, consistency and adherence to the requirements of equality legislation.

3d. Employees

- To play an active role in their own appraisal and professional development, including taking action as agreed at review meetings;
- to keep records of their objectives and review throughout the appraisal process;
- where the role of appraiser has been delegated in accordance with the regulations, act as appraisers for other employees;
- to contribute to the annual planning and assessment of other employees where appropriate;
- to decide whether they wish to apply for access to the upper pay range and provide the appropriate evidence.

4. Appointment of Appraisers

4a. For the Headteacher

The Governing Body acts as the appraiser for the headteacher and in order to discharge this responsibility, will appoint a committee of two/three governors.

No governor who is a teacher, or other member of staff at the school, may be appointed as an appraiser for the headteacher.

4b. For other staff

The headteacher will be the appraiser for all teachers and support staff who directly report to them. They are:



Deputy Headteacher
Assistant Headteacher
Inclusion Manager
Leading Practitioner
School Business Manager

For all other staff the headteacher has delegated the responsibility of appraiser, in its entirety, to the line manager.

Appraiser	Appraises
Deputy Head Teacher	Phase Leads and UPR teachers
Phase Leaders	KS1 & KS2 Teachers
School Business Manager	Finance Administrator HR Administrator Front Desk Administrator School Administrator Caretaker Cleaner
SENDCo	SEN LSA(s), SMSAs
Leading Practitioner	LSA'S
Teachers	LSA(s)

The headteacher will moderate a sample of (at their discretion), the planning statements to check that the plans recorded in the statements of the school's staff are consistent between those who have similar experience and similar levels of responsibility; and that they comply with the school's Appraisal Policy, the regulations and the requirements of equality legislation.

In this school, the maximum number of reviews that any line manager will be expected to undertake per cycle is 5 (*the Local Authority recommend a maximum of six*). In determining the number of appraisees for each appraiser account will be taken of the appraiser's workload and worklife balance.

Where an employee has more than one line manager, the headteacher will determine which line manager will be best placed to manage and review the employee's performance and inform the employee.



Where, for whatever reason, the appraiser will be absent for the majority of the cycle, or is unsuitable for professional reasons, alternative arrangements will be made in accordance with the above. The headteacher may perform the duties or delegate them in their entirety to another employee. Where this employee is not the appraisee's line manager the employee will have an equivalent or higher status in the staffing structure as the employee's line manager.

An appraisal cycle will not begin again in the event of the appraiser being changed.

All line managers to whom the headteacher has delegated the role of appraiser will receive appropriate support in discharging their responsibilities.

An employee has the right to request, in writing, that an appraiser is changed. Any request will be considered by the headteacher. The headteacher's decision will be final and there is no right of appeal. An employee cannot make more than one request (in any review cycle).

5. The Appraisal Cycle

The appraisal cycle consists of:

Planning Meeting at which objectives are agreed and a personal planning and review statement is produced;

Monitoring and support which is on-going throughout the cycle;

Review Meeting at which an overall assessment is made of the individual's progress taking into account the objectives set at the beginning of the cycle;

Appraisal report is produced which includes details of the assessment and a recommendation on pay;

Moderation initially carried out by the headteacher and the Senior Leadership Team with a view to putting individual pay progression recommendations to the Governing Body for agreement.

The performance of all staff must be reviewed on an annual basis. Performance, planning and reviews must be completed for **all teaching staff** by 31 October and for headteachers by 31 December.

5a. Transition to Capability Procedure

If the appraiser is not satisfied with progress and a professional guidance package has been implemented, the teacher 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 that they will be invited to a capability meeting.



6. The Planning Meeting

The Planning Meeting takes place at the start of the appraisal cycle and is a one-to-one meeting between the employee and the appraiser. (For the headteacher the meeting will be between the headteacher and **three** governors.) The employee and the appraiser should establish and agree the employee's key job outcomes based on their job description and set up to three performance objectives. In respect of senior leadership team members, up to five performance objectives may be set.

The appraiser and appraisee will always seek to agree the objectives and content of the planning statement. In exceptional circumstances where agreement cannot be reached the appraiser will make the determination.

Appendix A sets out the structure of the Planning Meeting.

6a. Setting Objectives

Performance objectives must:

- for teachers, be assessed against the Teachers' Standards;
- for class-based roles, be linked to the progress of the school's pupils and clearly link to the school improvement plan;
- take into account the employee's job description and the relevant professional standards / job competencies;
- reflect a whole school or team objective that is in the school improvement plan;
- be SMART (specific, measurable, achievable, relevant and resourced and timed); and
- balance the employee's professional aspirations whilst allowing them to have a reasonable work-life balance.

NB:- Objectives linked to pupil progress and the school improvement plan should also be the source of information as appropriate for school self-evaluation and the wider school improvement process.

An objective can also cover two cycles (two years). Where this is the case the objective will require milestones to be assessed on the progress made at the end of the first year. This will be recorded in the planning and review statement at the beginning of the cycle.

6b. Classroom Observation

The planning and review statement will set out the arrangements for classroom observation including the names of the assessor/s. The observation protocol is set out in Appendix B.

6c. Continuing Professional Development (CPD)

All staff have a responsibility to identify their own CPD needs and participate in any development that has been agreed.



The planning and review statement will include any training and development needs highlighted during the planning meeting and the agreed CPD for the cycle.

In agreeing the arrangements for CPD, the appraiser will consider the extent to which the developments that are identified are essential for an appraisee to meet their objectives.

6d. Other Key Factors to be Considered

(In the drafting of the planning and review statement)

Key people who may be required to assist staff in achieving a performance objective must be identified and any (CPD) training and development needs considered and included in the planning statement.

7. Planning and Review Statement

At the end of the Planning Meeting a draft planning and review statement will be prepared by the appraiser and passed to the employee within five working days for signature.

On receipt of the draft planning and review statement, the appraisee may add comments before signing.

Within 10 working days of the planning meeting the signed planning and review statement must be passed to the headteacher.

Within 10 working days of the headteacher receiving the statement they may review the statement, and may instruct the appraiser to make changes. If there are no changes the appraisee may appeal against the contents of the statement.

If there are changes:

Within 10 working days of the headteacher asking the appraiser to make changes:

- the appraiser must consult with appraisee;
- the appraiser must prepare a new planning and review statement to which the appraisee can add comments, sign it and resubmit it to the headteacher;
- the appraisee must also lodge any appeal against the contents of the statement.

Where an appeal is lodged on multiple entries they will all be determined at the same appeal hearing.

Appeals will not be heard until the moderation process has been completed.

7a. Revision of Planning Statement

There may be occasions during the review cycle where it is necessary to make revisions e.g.:

- where the appraisee's post and/or responsibilities have changed;
- if there have been difficulties in accessing agreed support;
- where the appraisee has been on maternity or long term sickness absence;



- where there are concerns about the appraisee's performance; or
- where reasonable adjustments required under the provisions of the Equality Act 2010 need to be made.

Where this is the case, either party can request a meeting. Within 10 days following the Revisions Meeting any proposed changes to the objectives, arrangements for classroom observation, evidence and arrangements for its collection, performance criteria, or support available to the appraisee in the review statement must be recorded as a written addition to the statement. The appraiser and appraisee should sign to say that the changes are an accurate reflection of what was agreed or determined by the appraiser. At the same time as signing the addition the appraisee can add any comments in writing. The appraisee has the right of appeal against the contents of the addition in accordance with this procedure. Following the Revisions Meeting the same timescales for recording and appeal apply as at the end of the planning meeting.

8. Monitoring and Supporting Performance

(Ensuring that things are going to plan)

Good appraisal is reliant upon good communication and effective feedback. One review meeting must be held during the appraisal cycle in order to track and record progress against the objectives set. However, there should also be regular discussions taking place with the appraiser and appraisee throughout the cycle as part of the normal management arrangements. Features of good monitoring and support include:

- communicating progress and changes in objectives and job tasks;
- identifying new or altered priorities and following these up with an amended planning statement;
- identifying and solving problems;
- giving regular and constructive feedback on performance;
- carrying out classroom observations within the appropriate allowance and with follow up feedback;
- delivery of promised training.

Monitoring methods should not be:

- unduly time-consuming; or
- generate unnecessary work.

When providing feedback appraisers should:

- provide the information required, enabling the understanding that keeps performance on course;
- emphasise good aspects of performance before highlighting any areas for improvement;
- seek to agree with the employee where performance is above or below expectations.

When receiving feedback, appraisees should:



- ask questions when s/he does not understand;
- ask for an example;
- look ahead to the remainder of the review period;
- agree needs for learning and development, or for support, to match changing demands.

9. Reviewing

At the end of the cycle, a Review Meeting will be held to assess performance against the performance criteria set at the beginning of the cycle. The Review Meeting should be a summary of discussions held throughout the appraisal cycle. There should be no surprises.

Before the Review Meeting the appraiser **must**:

- ensure the appraisee is clear about what will take place during the review meeting;
- review the appraisee's planning and review statement;
- collect any data, documents and information which are relevant to the discussion;
- make an initial assessment of the highs and lows of the appraisee's performance for discussion.

Before the meeting the appraisee **may**:

- review their own planning and review statement and conduct a self-evaluation of their actual performance against the objectives set in the statement;
- collect data and information which they believe will assist the appraiser in assessing their performance.

Good progress towards the achievement of a challenging objective, even if the performance objective has not been met in full does not mean that the overall performance cannot be assessed.

At the meeting the appraiser should set the tone and focus of the meeting. The appraiser and appraisee should jointly discuss the whole review period looking at:

- what has gone well in terms of achieving objectives;
- what could have been done differently to achieve objectives and the factors that contributed to any problems in achieving the objectives;
- how problems have been overcome and how these can be minimised in the future;
- what specific actions are required to continue to improve performance.

Agree an assessment of overall performance for the jobholder. . If a performance assessment cannot be jointly determined the appraiser will make the determination.

Once the performance has been assessed further objectives will be set for the following year (the meeting then becomes the planning meeting)



10. Feedback

Teachers will receive constructive feedback on their performance throughout the year, confirmed in writing, and, as soon as practicable, after an observation has taken place or other evidence has come to light.

Feedback will 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 will meet the teacher formally to:

- give clear feedback to the teacher about the nature and seriousness of the concerns;
- give the teacher 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 (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 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.

11. Moderation

- The Senior Leadership Team will review personal objectives and overall assessments of performance and recommendations for pay progression to ensure quality and consistency across the board.
- SLT will look at all staff who have been assessed to ensure performance evidence demonstrates that staff in each group have performed at a similar standard.

12. Appeals

Employees have the right of appeal against:

- the content of the planning and review statement, or any revision (following moderation);
- the outcome of the annual review.

Appeals must be lodged within five working days of written receipt of the above. The appeal will be considered informally by the Headteacher within ten working days of receiving the appeal. If the matter cannot be resolved informally, it will be considered by a panel of governors.



13. Retention of Statements

Appraisal planning and review statements will be retained for a minimum period of six years.

14. Confidentiality

The contents of an employee's planning and review statements remain confidential to them and their line manager/s and the headteacher.

15. Monitoring and Evaluation of the Policy

15a. Headteacher's Report

The Governing Body will monitor the operation and outcomes of appraisal arrangements. The headteacher will provide the Governing Body with a written report annually (by 31 December) on the operation of the school's appraisal policy. 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 including the number of employees in each category by work group;
- the effectiveness of the school's appraisal procedures;
- staff training and development needs.

15b. Non-Discrimination

The Governing Body is committed to ensuring that the appraisal process is fair and non-discriminatory and will require the following monitoring data to be included in the headteacher's report:

- race;
- sex;
- disability;
- age;
- gender reassignment
- marriage or civil partnership
- pregnancy and maternity
- religion or belief
- part-time contracts.
- sexual orientation



The headteacher will also report on whether there have been any appeals or representations on an individual or collective basis on the grounds of alleged discrimination under any of the categories above.

16. Access to Documentation

Copies of the school improvement and development plan and SEF can be obtained [from SLT](#).

17. Classroom Observation Protocol

All classroom observation will be undertaken in accordance with the appraisal regulations (for teachers). The classroom observation protocol is appended to this policy in Appendix B. The protocol could also be adapted for use in the appraisal of teaching assistants, subject to consultation with the work group and their TU representatives.

18. Implementation and Review of the Policy

The Governing Body will review the appraisal policy annually, taking account of the headteacher's report in its review. The policy will be revised as required to introduce any changes in regulation, associated guidance and statutory guidance.

The Governing Body will seek to agree any future amendments to this policy with the recognised trade unions, having regard to the results of the consultation with all staff.



19. Appendix A – Further Guidance on Planning Meetings

At the beginning of each cycle, the appraiser(s) will arrange a meeting with the appraisee ("the planning meeting") to consider and determine:

- the appraisee's objectives;
- the arrangements for observing the appraisee's performance in the classroom, where appropriate;
- any other evidence which will be taken into account in judging the appraisee's performance;
- the performance criteria;
- the support that will be provided to the appraisee to help meet the performance criteria;
- the timescales for the achievement of the objectives and within which support will be provided, where these differ from the length of the cycle of the appraise;
- the appraisee's training and development needs and the actions which will be taken to address them.

In determining the above the appraiser should take into account:

- the appraisee's job description;
- any relevant pay progression criteria;
- any relevant whole-school or team objectives specified in the School Improvement Plan;
- what can be reasonably expected of any teacher in that position given the desirability of the appraisee being able to achieve a satisfactory balance between the time required to discharge their professional duties and the time required to pursue personal interests outside work;
- the appraisee's professional aspirations; and
- the relevant professional standards.

The appraisee's objectives shall be such that, if they are achieved, they will contribute to improving the progress of pupils at the school.

Only persons who have a direct professional knowledge of the appraisee may provide evidence for the purposes of providing any other evidence, which will be taken into account in judging the appraisee's performance.

The appraiser and appraisee will always seek to agree the outcomes of the Planning Meeting but where a joint agreement cannot be made the appraiser will make the determination.



20. Appendix B – Classroom Observation Protocol

The Governing Body is committed to ensuring that classroom observation is developmental and supportive and that those involved in the process will:

- carry out the role with professionalism, integrity and courtesy;
- evaluate objectively;
- report accurately and fairly;
- respect the confidentiality of the information gained.

The total period for classroom observation arranged for any teacher will not exceed three hours per cycle having regard to the individual circumstances of the teacher. The amount of observation for each teacher will be proportionate to need.

In this school proportionate to need will be determined by: The Headteacher

The arrangements for classroom observation will be included in the plan in the planning and review statement and will include the amount of observation, specify its primary purpose, any particular aspects of the teacher's performance which will be assessed, the duration of the observation, when during the appraisal cycle the observation will take place and who will conduct the observation.

Although classroom observation is undertaken for this specific purpose, other information gathered during the observation will be used, as appropriate, for a variety of purposes including to inform school self-evaluation and school improvement strategies. This is in accordance with the school's commitment to streamlining data collection and minimising bureaucracy and workload burdens on staff.

In keeping with the commitment to supportive and developmental classroom observation those being observed will be notified at least five working days in advance.

Classroom observations will only be undertaken by persons with qualified teacher status.

In addition in this school classroom observation will only undertaken by those who have been trained in classroom observation and in the provision of constructive supportive feedback in the context of professional dialogue between colleagues.

Verbal feedback will be given as soon as possible after the observation and always within 24 hours of the observation taking place. It will be given during directed time in a suitable, private environment.

Written feedback will be provided within five working days of the observation taking place. If issues emerged from an observation that were not part of the focus of the observation as recorded in the planning and review statement these should also be covered in the written feedback and the appropriate action taken.

The written record of feedback also includes the date on which the observation took place, the lesson observed and the length of the observation. The teacher has the right to append written comments on the feedback document. No written notes in addition to the written feedback will be kept.



Where a teacher has an adverse observation, additional observation meetings (to those recorded at the beginning of the cycle) may be arranged, by agreement. These should be subject to a Revision Meeting where the planning statement will need to be reviewed. The review could include additional support being provided. Additionally, arising from the assessment the employee's objectives may need to be reviewed.