

# **Staff Performance Management Review (Appraisal) Policy**

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## Version Control Table

Version	Date	Amended by	Rationale
2.0	11/10/2018		Version approved by the Board
2.1	17/09/2021	Ema Mendes Martins & Victoria Webb	Scheduled review of policy. Minor changes made to reflect current policies and terminology
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3.1	10/09/2024	Ema Mendes Martins	Policy updated to reflect the working group that has been established to review staff appraisal
3.2	26/03/2025	Ema Mendes Martins	Policy reviewed – no changes made.
4.0	03/04/2025		The version approved by the Board

### **Guidance on Version Control:**

*The above is an example of how to complete the Version control table.*

*Versions are 0.1, 0.2, etc, until such point as the document is approved. Then it becomes version 1.0.*

*Subsequent edited versions become 1.1, 1.2, or if it's a major update, 2.0. Do not worry about the numbers going up and up its about getting the policy right – it's all fine.*

# STAFF PERFORMANCE MANAGEMENT REVIEW (APPRAISAL) POLICY

## Policy Coverage

THE POLICY APPLIES OR COVERS THE FOLLOWING GROUPS			
Type of Learner	Tick (✓)	Type of Stakeholder	Tick (✓)
Key Stage 3 (KS3) Carousel		Teaching Staff	✓
Key Stage 4 (KS4) GCSE		Education Support Staff	✓
Key Stage 5 (KS5) Level 2		Administrative Support Staff	✓
Key Stage 5 (KS5) Level 3		Directors	✓
Key Stage 5 (KS5) A Levels		Employers	
Apprentices		Visitors / Contractors	

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## 1. Introduction

The London Design & Engineering (LDE) UTC is committed to a fair, clear and consistent assessment of the overall performance of its employees, for supporting their development needs within the context of the UTC's development plan and their own professional needs and the expectations set out in relevant national and local standards, together with individuals' job and person specifications. The appraisal process will be a professional dialogue between the appraiser and appraisee.

This policy should be read in conjunction with the UTC's pay policy, which provides details of the arrangements relating to employees' pay. Where employees are eligible for pay progression, the assessment of performance throughout the cycle will be against the criteria detailed within the pay policy.

The policy applies to the CEO/Principal and to all other UTC employees except those on contracts of less than one term, those undergoing induction (including early years teachers) and those who are the subject of capability procedures.

This policy has been ratified by the Board following consultation with the UTC's HR provider and does not form part of any employee's contract of employment, and it may be amended at any time, subject to further consultation with staff and recognised bodies.

## 2. Roles and Responsibilities

It is the responsibility of the Board of Directors to establish a policy and procedure for appraisal and to monitor the effects of those procedures. In particular, the Board will need to make arrangements for the consistent and fair assessment of the performance of the CEO/Principal, including appointing one or more of its members to manage the CEO/Principal's appraisal.

It is the responsibility of the CEO/Principal to ensure there is a consistent and fair process for assessing the performance of employees and to support their development needs. This will include the appointment of appraisers whose role is to operate the appraisal process, including making recommendations on pay progression where appropriate.

It is the responsibility of all managers to manage performance effectively by ensuring that relevant employees are aware of the standards required of them and by dealing with immediately with any minor deficiencies through normal management processes, including observation, supervision, induction and probation.

It is the responsibility of all employees to familiarise themselves, and cooperate and comply with this policy and procedure in accordance with relevant professional and other standards.

The CEO/Principal will ensure moderation of all the planning statements to check that the plans are recorded in the statements of employees at the UTC:

- are consistent between those who have similar experience and similar levels of responsibility; and
- comply with the UTC's appraisal policy, the regulations and the requirements of equality legislation.

### 3. Links to the UTC's Development

To assist with the UTC's self-evaluation and development planning, managers and reviewers will ensure that all employees' performance objectives align with the UTC's priorities and plans, together with employees' professional aspirations, where possible. The appraisal process will be the main source of information as appropriate for self-evaluation and the wider UTC development process.

### 4. Legislation and Guidance

As an academy, we are free to determine our own appraisal arrangements. However, where a teacher's contract specifically incorporates conditions from [The Education \(School Teachers' Appraisal\) \(England\) Regulations 2012](#), these will continue to apply due to [The Transfer of Undertakings \(Protection of Employment\) \(TUPE\) Regulations 2006](#), which protect employees' terms and conditions when a maintained school becomes an academy.

This policy complies with our Funding Agreement and Articles of Association.

## PART A – STAFF APPRAISAL PROCESS

### 5. Appraisal Cycle and Meetings

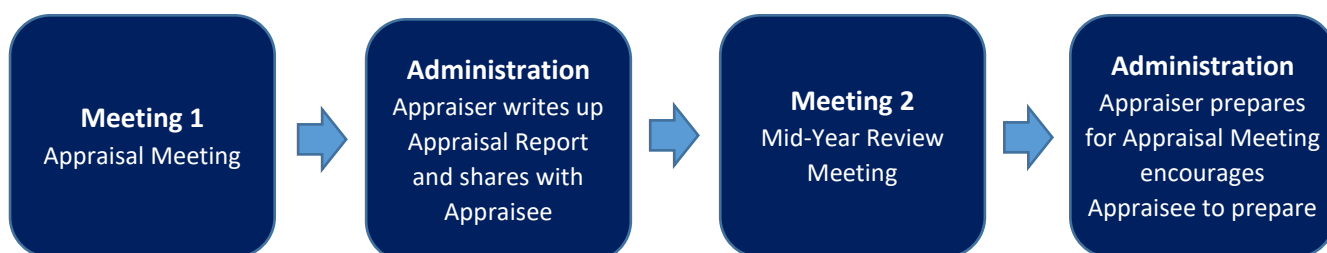
The appraisal period will run for 12 months beginning on the first day of the autumn term. Appraisals will be held during the autumn term.

For staff on fixed-term contracts of less than 12 months, the appraisal period will be determined by the duration of their contract. Staff who start at or leave the college during the appraisal period can have a longer or shorter appraisal period in that appraisal round.

It is intended that staff will have had their annual appraisal meeting and received their appraisal report by 31<sup>st</sup> October.

It is intended that the Principal will have had their annual appraisal meeting and received their appraisal report by 15<sup>th</sup> October.

The process is summarised below:



### 6. Commencing the Appraisal Process / Objective Setting

Either before or as soon as practicable after the start of the appraisal period, the appraiser and appraisee should meet for the appraisal planning meeting to agree on the timetable, objectives and other arrangements for the appraisal period. The appraisee will be provided with a copy of their job description at the start of the process. Copies of this policy, the pay policy and the National Teachers Standards document will be made readily available to all employees.

Objectives should be relevant to the Appraisee's job and link to the Departmental Plans and the UTC Development Plan. The scope of the objectives set should be relevant to the level and type of role undertaken.

The number of objectives is usually intended to be 3, and it is good practice for this not to exceed 4. The number should be proportionate to the role. For example, a lunchtime supervisor working 2 hours a day might have one objective.

Where relevant, objectives will also relate to any professional standards the member of staff is seeking to achieve, e.g. HLTA standards, National College competencies for College Business Managers, Teacher standards, etc.

Consequently, they will provide evidence for any associated pay progression. This is particularly the case for post-threshold teachers and those on the leadership group, where such objectives, if met, will demonstrate that their performance has been of a substantial and sustained high quality and that they have grown professionally by developing their teaching and leadership expertise, as appropriate.

Though appraisal is an assessment of the overall performance of each member of staff, stipulated objectives cannot represent the full range of an individual's role and/or responsibilities. Objectives will, therefore, focus on the priorities for an individual for the cycle. At the review stage, it will be assumed, unless there is evidence to the contrary, that those aspects of an individual's role and/or responsibilities not covered by the objectives will be deemed to have been carried out satisfactorily, unless written evidence to the contrary has been provided.

## 7. Reviewing Performance

Appraisal is a continuous process. Senior managers and line managers should have full regard for performance and employees' development issues on an ongoing basis as part of the natural process of employee management. This may require occasional and informal discussions with employees about all manner of performance-related matters, including those relating to specific objectives, where this is agreed by both parties. Formal review meetings may also be required from time to time to support appraisal, as part of support for concerns over performance.

At the end of the appraisal review cycle, the performance of each employee covered by the appraisal policy will be formally assessed in respect of each appraisal period, and the relevant manager will have a review meeting with each employee to discuss and assess the employee's performance and discuss the employee's appraisal report. This meeting may be combined with the planning meeting of the next annual cycle. The appraisal planning record will provide a focus for the review meeting.

In assessing the performance of the CEO/Principal, the nominated Directors should include or consult a relevant educational professional.

Although the assessment of employees' performance is the conclusion of the annual appraisal process, performance and development priorities may be reviewed and addressed formally or informally on a regular basis throughout the year.

Employees will receive constructive feedback on their performance throughout the year and as soon as practicable after an observation has taken place or other evidence has come to light. Feedback must highlight particular areas of strength as well as any areas for development.

Employee absences during the appraisal cycle can, if the periods are significant, be disruptive to the assessment of performance. Where this occurs, a manager's assessment must necessarily be made on that evidence which is available to the UTC. In some circumstances, a final review and decision on pay progression may be deferred until a return to work. In such circumstances, any pay progression will be back-dated to the appropriate date on which the award would normally be paid – see the UTC's Pay Policy.

### 7.1 Teaching staff evidence

We will use a range of evidence to judge a teacher's performance:

- Formal and informal lesson observations
- Observations and results from wider college activities, if applicable
- Performance of their learners
- Reviews of planning and marking
- Parent and learner voice, if applicable



## 8. Preparation for the Appraisal Review Meeting

### 8.1 Identification of the Appraiser

The CEO/Principal will be appraised by a small group of nominated Directors. The CEO/Principal's objectives will also be set by the nominated Directors.

The CEO/Principal will determine the appraisers for other members of staff. The appraiser should normally have line management responsibilities for the employee whose performance they are reviewing.

All activities related to appraisal will take place within working time, but not within a teacher's planning, preparation and assessment (PPA) time.

### 8.2 Preparing for the meeting – Appraiser preparation

The Appraiser should prepare by ensuring that they have a copy of the following documents:

- LDE College Development Plan;
- Job description; and
- Previous appraisal document.

The Appraiser should prepare for the appraisal meeting by reviewing the objectives set during the previous appraisal cycle, the Appraisee's impact statements, and reviewing evidence attached on BlueSky to demonstrate progress.

### 8.3 Preparing for the meeting – Appraisee preparation

It is important for Appraisees to undertake their personal preparation for the Appraisal Review meeting. This should include reflection on performance over the past appraisal period - what has gone well and what not so well? How has training and development undertaken assisted the individual in their role? All of this should be recorded on BlueSky as part of the Appraisee's self-review, with impact statements written for each objective and evidence uploaded.

### 8.4 Date, time and location for meeting

The Appraisal meeting should be planned in advance. Appraisers will give at least 5 days' notice of a review meeting to enable their Appraisee to prepare. The meeting should take place in a confidential and quiet location which is free from interruptions and disturbance.

Sufficient time, normally at least 1 hour, should be set aside for the meeting. Wherever possible, this meeting will be within normal contracted working hours and will, in all circumstances be paid.

## 9. The Appraisal Discussion

The first part of the Appraisal Review discussion will include a reflection on the previous year. What has gone well and could be even better? There will be a review of progress with respect to the objectives set and a discussion about the evidence provided to demonstrate success. Where the Appraisee has engaged in development and training activities in the

past appraisal period, there should be a discussion about what development has taken place and how this has assisted the individual with their role.

The second part of the Appraisal discussion should focus on the future. This will include setting appropriate objectives (see next section), identifying any areas for development or improvement and discussing what support, training and development may be required to support the appraisee in their role.

## 10. Recording the Outcome of the Appraisal Discussion

### 10.1 Outcome of the Appraisal

The outcome of the appraisal review and planning discussion should be recorded. This will be a confidential record of what was discussed and proposed.

The appraisal report will include:

- details of the employee's objectives for the appraisal period in question;
- an assessment of the employee's performance of their role and responsibilities against their objectives and any relevant standards; and
- an assessment of the employee's training and development needs and identification of any action that should be taken to address them. The assessment of performance and training, and development needs will inform the planning process for the following appraisal period.

In accordance with the UTC's pay policy recommendations in respect of pay progression will be made by 15 October for the CEO/Principal and by 31 October for other staff.

### 10.2 Method of recording the Outcomes

The Appraisee must be given an opportunity to comment on the review. It is important that the Appraisee and the Appraiser have a copy of the signed document, whether paper-based and access to our online system, BlueSky.

## 11. Ongoing Monitoring and Review (and Mid-Year Meeting)

An effective Appraiser/Line Manager should monitor and review staff performance on an ongoing basis, providing regular feedback and encouragement.

You should include a planned Mid-Year Review meeting. This will provide an opportunity for a confidential discussion regarding progress with the objectives, discuss the role and appraise performance and provide an opportunity to address any issues or areas of concern which may have arisen. In some cases, it may be necessary to adjust an objective, discuss and seek to resolve issues and challenges and identify additional support or training. These should be open and honest discussions with the aim of ensuring that there are no surprises at the time of the appraisal review meeting.

## 12. Development and Training

The appraisal discussion should include the identification of development and training needs and how the identified needs might be most effectively met.

All staff have a shared responsibility for their own professional development and training, and as part of this, should engage fully with training and development opportunities provided through the UTC. Development and training can be delivered through a variety of means. For example: coaching, mentoring, team meetings, networking, working on projects, individual reading and research, attending in-house or external training events, studying for professional qualifications.

## **PART B – EDUCATION SUPPORT STAFF AND TEACHING STAFF**

### **13. Concerns Over Performance**

If at any point in the appraisal period the line manager is not satisfied with the employee's progress against their objectives, they will be provided with additional support.

This will begin with the employee being notified in writing of the nature of the concerns and invited to a meeting with the manager at which the concerns will be discussed and potential solutions identified. A performance improvement (support) plan will then be created.

The nature of the support will be based on the individual's circumstances. For example, staff whose difficulties are linked to a long-term health condition may be referred to the occupational health service. Staff new to the College may be given a mentor or coach.

The concerns may be of a nature that would usually involve beginning the capability procedure. In these cases, refer to our capability policy.

### **14. Appeals**

Employees can seek a review at any stage of the appraisal process by requesting a meeting with the CEO/Principal (or where the CEO/Principal has been previously involved, a nominated Director). The employee must make this request in writing and provide full details of their grounds for the review.

### **15. Confidentiality**

The appraisal process and related paperwork will be treated with confidentiality. Appraisal paperwork may, however, be shared beyond the appraiser and appraisee in the following circumstances:

- with senior leaders for the purposes of quality assurance;
- with the CEO/Principal for the purpose of assessing eligibility to pay progression in accordance with the UTC's pay policy and meeting relevant standards;
- where poor performance is identified;
- with those responsible for making pay decisions in accordance with the UTC's pay policy.

### **16. Training and Support**

The LDE UTC's continuing professional learning programme (CPL) will be informed by the training and development needs identified in the training annex of the appraisee's planning and review statements.

The Board of Directors will ensure in the budget planning that, as far as possible, appropriate resources are made available in the UTC budget for any training and support agreed for employees.

An account of the training and development needs of employees, including the instances where it did not prove possible to provide any agreed CPL, will form a part of the CEO/Principal's annual report to the Board of Directors about the operation of appraisal in the UTC.

With regard to the provision of CPL in the case of competing demands on the UTC budget, a decision on relative priority will be taken with regard to the extent to which:

- the CPL identified is essential for an appraisee to meet their objectives;
- the extent to which the training and support will help the UTC to achieve its priorities;
- the LDE UTC'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 agreed and recorded in the planning statement has not been provided.

## 17. Retention of Statements

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

## 18. Monitoring and Evaluation

The LDE UTC Board of Directors is committed to ensuring consistency of treatment and fairness in the operation of appraisals and will do so through monitoring the operation and outcomes of the appraisal arrangements.

The CEO/Principal will provide the Board of Directors with a written report on the operation of the UTC's appraisal policy annually. 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;
- the effectiveness of the UTC's appraisal procedures;
- employees' training and development needs.

The Board of Directors is committed to ensuring that the appraisal process is fair and non-discriminatory, and the following monitoring data should be included in the CEO/Principal's report because they represent the possible grounds for unlawful discrimination:

- race;
- sex;
- sexual orientation;
- disability;
- religion and belief;

- age;
- part-time contracts;
- trade union membership;
- pregnancy and maternity;
- gender reassignment;
- marriage and civil partnerships.

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

## 19. Review of the Policy

The Board of Directors will review the appraisal policy every three years or as necessary.

The policy will be revised as required to introduce any changes in regulation and statutory guidance to ensure that it is always up to date.

To ensure employees are fully conversant with the appraisal arrangements, all new employees who join the LDE UTC will be briefed on them as part of their introduction to the UTC.

## 20. Links with Other Policies

This policy should be read in conjunction with our capability and pay policies.

The capability policy will be used when this policy has not been able to address concerns with an employee's performance. It applies to all staff, not just teaching staff.

The pay policy sets out how pay increases will be awarded, based on the results of an employee's appraisal.

## APPENDIX A: Observation Protocols for Supporting and Monitoring Staff

Although observation is not the only means by which the performance of staff will be assessed, it is recognised as being important and the LDE UTC Board of Directors is committed to ensuring that observation practice is developmental and supportive and that those involved in the process will:

- carry out the role with professionalism, integrity and courtesy;
- seek to reach an agreement in advance on how classroom observations are to be carried out;
- evaluate objectively;
- report accurately and fairly; and
- respect the confidentiality of the information gained.

Planning for observation will take place at the start of the appraisal cycle and will include details of:

- the amount of observation;
- the focus of the observation;
- the duration of the observation;
- when, during the appraisal cycle, the observation will take place; and
- who will conduct the observation?

The above can be reviewed as necessary during the cycle.

The total period for observation will reflect and be proportionate to the needs of the individual. The total time for formal classroom observation for teachers will not, under normal circumstances, exceed three occasions for a total of three hours.

### Observation protocol

We believe that observations are an important way of assessing performance. They can help identify strengths and areas for improvement, and can help us identify areas of good practice that can be shared across the college.

There will be both formal and 'pop in' observations. Education support staff with responsibilities for learners and teachers with responsibilities outside the classroom will also have these responsibilities observed.

All observations will:

- Be carried out in an objective, fair, professional and supportive manner
- Be carried out by teachers with Qualified Teacher Status
- Provide constructive feedback
- Remain confidential to those who need to know details as part of their jobs

## **‘Pop in’ observations**

Pop-in observations will usually be conducted by subject leads, faculty leads, or a member of the leadership team in order to monitor the quality of teaching and learning. Notice of ‘pop in’ observations will be given through Wall Walks (e.g. the focus of the week). They will usually last around 10-15 minutes, and may involve the observer talking to learners and looking at their work. The frequency will depend on the individual teacher and the college’s needs at the time.

Generally, verbal feedback will be given no later than the following day. We will use all reasonable endeavours to provide written feedback within 5 working days.

Please note that we also carry out pop-in observations where fellow teachers observe a lesson for their own professional development. Notice may not be given, and evidence will not be used as part of the appraisal process.

## **Formal observations**

The purpose of formal observations is to assess the teacher’s performance and progress against their objectives and the relevant standards. The number of formal observations will be agreed with the teacher during their appraisal meeting, and will be determined by the teacher’s individual circumstances and the needs of the college at the time. For example, ECTs and less experienced teachers who have recently started at the college will receive a number of formal observations to establish their strengths and areas for development. A very experienced teacher will typically receive fewer observations.

Generally, verbal feedback will be given no later than the end of the following working day. It will be given during directed time in a suitable, private environment. Time for feedback will be made available in addition to PPA time. Written feedback will normally be provided within five working days of the observation taking place. If issues emerged from an observation, they must also be covered in the written feedback and, where appropriate, action taken.

For employment settings outside the classroom, appropriate observation and “pop-in” processes will also be applied.

Information gathered during an observation will be used, as appropriate, for a variety of purposes, including to inform the UTC’s self-evaluation form and the UTC’s improvement strategies.

In keeping with the commitment to supportive and developmental, observation of those being observed will be notified in advance. The UTC will consult teachers on the pattern of classroom observation and seek agreement with teachers. Teachers being observed will, under normal circumstances, be notified at least five working days in advance. As far as possible, classroom observations will take place at a time agreed between the teacher and the observer. The UTC will ensure that there is a reasonable amount of time between classroom observations.



## Appraisal Timetable

Date	Action
End of July	Discuss and set objectives, and inform staff of the standards their performance will be assessed against
First day of the autumn term	Appraisal cycle begins
September – October	An appraisal meeting held to review the previous appraisal period
31 October	The appraisal process is completed for staff, deadline for appraisal reports to be sent
Mid-October	The appraisal process is completed for the CEO/Principal, deadline for the appraisal report to be sent
Termly throughout the year	Meetings held to review progress
Throughout the year	Formal and pop-in observations and monitoring take place, constructive feedback is provided