



**Extend Learning**  
Academies Network

# Appraisal Policy

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|-----------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------|
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|         |            |            |                                                                       |
|         |            |            |                                                                       |

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# Appraisal Policy

## 1. Introduction

The Extend Learning Academies Network (ELAN) is committed to ensuring that all staff perform effectively in order to effectively deliver the strategic aims and objectives. To support this, ELAN aims to ensure that effective recruitment is undertaken, performance and behavioural expectations and standards are clearly defined and communicated, and performance is regularly monitored through the appraisal process. In terms of behaviours, expectations are based upon our ELAN Behaviours which were created in order to bring our three values to life; Embrace Individuality; Do the Right Thing and Work Together.

As part of the above, employees will be given appropriate feedback, support and training designed to meet need and drive improvement which will allow our staff to achieve their best and provide an extraordinary education for our children.

Appraisal sits within the general umbrella of performance management and is intended to be a developmental and supportive process which will be used to inform continuing professional improvement. The trust wishes to encourage a culture in which all staff take personal responsibility for improving their performance by undertaking appropriate professional development. Development will be linked to school improvement priorities, to the ongoing professional development needs and priorities of individuals and teams and to the strategic plan.

## 2. Aims and scope of the policy

This policy sets out the framework for a clear and consistent appraisal of the overall performance of staff, and for supporting their development within the context of the trust, it's plan for improving educational provision and performance, and the expected standards.

In situations where staff performance falls below the required levels of competence, the trust capability policy will be invoked.

Appraisal will not apply to new staff undergoing probation. Once probation has been successfully signed off, performance will then be managed through the appraisal cycle.

## 3. Equal opportunities

It is expected that this policy will be applied fairly and equitably in line with both employment law and ELAN's Equality and Equal Opportunities Policy.

No discrimination will be made on the grounds of age, disability, gender history or gender reassignment, marriage and civil partnership, pregnancy and maternity, colour, race nationality, ethnic or national origin, religion or belief, sex, or sexual orientation when operating this policy, and careful consideration of employees individual circumstances will be taken into account when implementing such.

#### **4. The appraisal period**

The appraisal period will run annually, generally in line with the school year i.e., 1 September to 31 August.

Staff who are employed on a fixed term contract of less than one year will have their performance managed in accordance with the principles underpinning this policy. The length of the period for improvement will be determined by the duration of their contract.

There is flexibility to have a longer or shorter appraisal period when staff begin or end employment within the trust

For staff who are new to the trust, the ELAN probationary period assessments provide an appropriate lead into the setting of short term objectives until the employee can be integrated into the annual appraisal cycle.

Appraisal meetings should be scheduled at the beginning of the cycle, and where possible staff should be given at least five days' notice to prepare.

#### **5. Carrying out appraisals**

Within ELAN, the chief executive officer (CEO) of the trust is responsible for the appraisal of all headteachers (or delegation of), as detailed in the ELAN scheme of delegation.

The headteachers and other leaders are responsible for deciding who should conduct appraisal within their location and ensuring the quality of appraisal within their area is consistently high.

#### **6. Setting objectives**

The CEO's objectives will be set by the Board in line with the requirements of the trust's strategic plan.

The headteacher/Central lead's objectives will be set by the CEO (or delegate) in line with trust and school or departmental priorities. The Central Leads objectives will be agreed by the CEO.

The headteacher/Central lead's objectives will then inform the objectives for the rest of their teams to ensure objectives for all staff are focused on the achievement of trust and school/departmental priorities. The Central leads objectives will inform the objectives of their central/functional team(s).

Objectives will be set at the start of each appraisal cycle and will be specific, measurable, achievable, relevant and time-bound (SMART).

They will also be appropriate to the employee's role and level of experience, will reflect the priorities for an individual for the cycle and will be under the following headings:

| School leaders<br>i.e.<br>headteachers /<br>Deputy /<br>Assistant<br>headteachers | Central leaders              | Teachers                     | School support<br>staff (Note -<br>SMSAs/LSAs/TAs<br>and HLTAs have<br>generic objectives) | Central support<br>staff             |
|-----------------------------------------------------------------------------------|------------------------------|------------------------------|--------------------------------------------------------------------------------------------|--------------------------------------|
| Personal growth                                                                   | Personal growth              | Personal growth              | Personal growth                                                                            | Personal growth                      |
| Quality of education                                                              | Quality of service           | Quality of education         | Teaching and learning                                                                      | Service provision                    |
| Communication and managing resources                                              | Communication and leadership | Communication and leadership | Communication                                                                              | Communication                        |
| Leadership and management                                                         | Departmental objective       | School specific objective    | School specific objective                                                                  | Department / role specific objective |

At least one objective for teachers should relate directly to pupil progress.

Objectives set should be reasonable, job specific, contain a degree of challenge and they should clearly identify success criteria and specify how progress will be measured.

They should allow staff to demonstrate performance rather than simply results and may be revised in line with changing circumstances.

The appraiser and appraisee should seek to agree the objectives, but, in the event that this is not possible, the appraiser will determine the objectives.

Objectives can be set for periods of less and for longer than a year where appropriate (for example in the case of those on fixed terms or those leaving or joining the trust during the appraisal year). It may be appropriate to set longer term objectives (for example linked to longer term school improvement for members of the leadership group). Where longer term objectives are set, intermediate annual objectives should be set.

Though appraisal is an assessment of overall performance, objectives cannot cover the full range of roles/responsibilities. Objectives will, therefore, focus on the priorities for an individual for the cycle and it will be assumed that any aspects of an appraisee's roles/responsibilities not covered by the objectives have been carried out satisfactorily, with reference to the appropriate standards e.g. Teachers Standards, unless otherwise stated. **Any unsatisfactory conduct or performance outside of the appraisal process scope will be dealt with via the disciplinary or capability processes.**

## 7. Reviewing performance

Employees will receive constructive feedback on their behaviour and performance throughout the year during regular check-ins with their line manager and as soon as practicable after 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. Should the Line Manager have concerns regarding staff performance they should take advice from the trust HR team.

Formal reviews linked to the appraisal cycle will take place throughout the year including one around the mid-year point (in February). The final review should ideally take place in July unless operational requirements necessitate moving these dates but this should be no later than 31 October. The final review and objective setting for the new year can take place at the same review.

During mid-year reviews, interim progress will be monitored and an assessment of whether overall achievement of the objectives is likely. The final review will determine whether objectives set in relation to performance and development have been achieved partially, fully or not at all.

In the event that a member of staff does not agree with the outcome of their appraisal and agreement cannot be reached, they should refer to the Grievance policy and procedure for resolution.

Details of these reviews and any agreed actions arising from them, will be recorded on the appraisal documentation.

On occasions during a review cycle, usually as a result of unplanned circumstances, it may be considered that an objective set at the start of the process is no longer appropriate or requires some adjustment. Either at the mid-year review stage or an additionally scheduled meeting, changes can be agreed.

If an appraisee is due to commence maternity leave during an appraisal period, wherever practicable, the line manager will conduct an interim review in order to inform the end-of-year assessment. If an appraisee leaves the school mid-cycle to take up another post, they may request an interim review meeting to conclude the progress made to date so that they have a completed appraisal record to take to their next post.

Appraisers should take into account the following which should form the basis of any discussion:

- the impact and contribution of the individual staff member to be assessed
- factors beyond an individual's control
- evidence provided
- own evidence/observation
- any evidence/observation provided by others e.g. via 360 feedback

The nature and level of challenge of objectives will reflect the nature and level of challenge of the role and / or the career stage of the employee.

In the case of teachers, the level of challenge of the objectives should increase to reflect the differences between unqualified, other main range and upper pay range roles and between classroom teaching and leadership group roles. Early Career Teachers (ECTs) will be measured against objectives set for them as part of their ECT year by their nominated teacher.

The appraiser will judge whether objectives set in one cycle should continue to be relevant in the next cycle because of the progress towards this objective and the circumstance which will be recorded on the review form.

The objectives set for each staff member will, if achieved, contribute to the school's plans for improving the trust and school's educational provision and performance and improving the education of pupils at that school and across the trust.

In the interests of consistency and fairness, all appraisals should be moderated at location level to ensure quality and consistency. Trust HR will carry out quality assurance (QA) to support this process.

## **8. Evidence**

All evidence should be considered for relevance and where necessary, further evidence requested to support the individual's assessment of their performance. Where evidence contains personal data not directly related to achievement of the objective, this should be kept to a minimum or redacted appropriately in line with General Data Protection Regulations (GDPR).

Monitoring of actual practice in role e.g. classroom practice (including that of classroom based support staff) and key responsibilities is important both to assess performance and identify any particular strengths and areas for development an employee may have. They also support and inform trust improvement more generally. All assessments will be carried out within a culture of continuous improvement with a clear developmental focus.

Teachers' performance will be regularly assessed based upon the Teacher's Standards document. The amount and type of classroom assessment will depend on the individual circumstances of the teacher and the overall needs of the school.

Teachers (including the headteacher) who have responsibilities (for example leadership and management responsibilities) outside the classroom should also expect to have their performance of those responsibilities monitored and assessed.

Assessments may be externally verified on occasion where warranted by circumstances or as part of the trust or school quality assurance process.

Members of staff who are not based in the classroom will also be involved in a work review/assessment process in a format agreed as being appropriate to role.

Judgments relating to performance should be supported by a range of appropriate and transparent evidence.

As well as classroom observations, other evidence might include; self-assessment, peer-review/360 feedback, pupil progress data, pupil attainment data and pupil voice.

## **9. Career aspirations**

Whilst ELAN appreciates that not every employee wants promotion or to move into another role, the appraisal is an opportunity for discussing this.

ELAN conducts an annual assessment of all employees' performance and potential.

Future potential career options and other potential roles that may be of interest to the individual should be explored and noted on the appraisal form.

Where promotion is desired and a potential 'next role' identified, the individual's readiness for promotion should be discussed and assessed, and any development needed should be noted on the form along with realistic timescales.

ELAN is a big supporter of internal promotion and development of employees where it is mutually desired.

## **10. Succession and Talent planning**

Information gained from the appraisal process will be used by ELAN to feed into the succession and talent plan for the wider organisation. ELAN leaders assess all our employees' potential and performance annually based upon a nine box grid.

## **11. Personal development plans (PDPs)**

ELAN is committed to the continuous development of its workforce, both professionally and personally. We understand that whilst not every employee wants promotion or to move into another role, everyone is capable of and generally benefits from personal development.

Therefore, as part of the appraisal process, individuals may wish to complete a separate PDP which will be reviewed in line with the performance objectives.

ELAN expects all employees to take responsibility for identifying their own development wants/needs and the PDP should detail the most appropriate development intervention to meet those needs. This may include such things as reading a book, networking, job shadowing or research, as well as attending a course or a more formal programme of training.

CPD programs and training will reflect, where appropriate, those development needs identified via the appraisal process.

## **12. Monitoring and Evaluation**

The trust will review the impact of appraisal against strategic priorities and local governing bodies (LGBs) will review the impact of appraisal, against trust, school and team performance.

The headteachers/Central Team Leaders will provide the trust with a written report on the operation and impact of the location's appraisal process annually, if requested. The report will contain:

- an overview and assessment of the process and its efficiency
- the impact of appraisal on the delivery of strategic priorities
- suggested improvements to the policy
- staff training and development needs.
- any appeals or representations on an individual or collective basis on the grounds of alleged discrimination under any of the categories above in relation to appraisal cases, including the circumstances, where staff have not made satisfactory progress towards objectives

Please see Appendix B.

HR carry out annual, random quality assurance checks on appraisal documentation. These checks cover all schools, the central team and all roles.

### **13. Additional statement on confidentiality**

In exceptional circumstances, the school's appraisal practices could be subject to an internal or external audit. In this instance, any affected staff would be advised of the rationale/reasons for the audit and that their assessment paperwork might be reviewed for this purpose.

## **Appendix A - Additional Appraisal Guidance**

### **CEO Appraisal:**

- the trust board has a clear role to support and inform the appraisal process
- the CEO appraisal will be carried out by the chair of the trust board and another trustee and objectives will be set for the year
- a copy of the CEO's previous appraisal and reviews should be kept by the chair of trust board for their information and to inform their input
- The chair of the trust board will provide trustees with a written report of the CEO's appraisal in respect of the relevant appraisal period.

### **Process**

- the trustees and CEO will meet to discuss and review performance
- the trustees and CEO will discuss and agree objectives for the next 12 months or review current objectives
- the CEO's trust objectives should be shared with the trust board. This will underpin ELAN's improvement focus and inform all levels of governance of the wider work across the trust. Trust objectives should be shared once they have been agreed with the CEO. Personal objectives should remain confidential to the CEO and relevant personnel
- In the event that the CEO does not agree with the outcomes of the process, they should refer to the Grievance policy and procedure

### **Headteacher Appraisal:**

- Headteacher appraisals will be carried out annually by the CEO and clear objectives set for the year
- A copy of the Headteacher's previous appraisal and reviews should be kept by the CEO for their information and to inform their decisions.

### **Process**

- the CEO will meet with the headteacher to discuss and review performance and agree objectives for the next 12 months or undertake an assessment of current objectives (if a review meeting)
- the CEO, and headteacher will meet to discuss the headteachers objectives and any planned development
- the headteacher should share the whole school objectives with the full governing body. This will underpin the school improvement focus of the school and inform governors of the headteacher's wider work within the trust. Objectives should be shared once they have been agreed with the headteacher. Personal objectives should remain confidential to the headteacher and relevant personnel
- in the event that the headteacher does not agree with the outcomes of the process, they should refer to the Grievance policy and procedure.

## **Appendix B – Annual Appraisal Report**

To be completed by the headteacher/central lead

|                       |  |
|-----------------------|--|
| <b>School</b>         |  |
| <b>Appraisal year</b> |  |

|                                                                              | Numbers | Comments                          |
|------------------------------------------------------------------------------|---------|-----------------------------------|
| Total number of staff at start of appraisal period                           |         |                                   |
| Total number of initial appraisal and objective setting meetings carried out |         |                                   |
| Total number of mid-year reviews carried out                                 |         |                                   |
| Total number of final reviews carried out                                    |         |                                   |
| Total number of staff who achieved their objectives                          |         |                                   |
| Total number of staff who partially achieved their objectives                |         |                                   |
| Total number of staff who did not achieve their objectives                   |         |                                   |
| Number of appeals / representations made on the grounds of discrimination    |         | Please explain the circumstances: |
| Number of grievances raised related to appraisal                             |         | Please explain the circumstances: |

## **Summary**

Based on the above, please provide your assessment of the appraisal process within your school over the given period. Please comment on the following:

**Efficiency and organisation within the school**

**Skill and ability of the appraisers**

**Quality of the objectives set, including any training and QA carried out in school**

**Impact of the appraisal on the delivery of trust and school priorities, including how this was assessed and measured**

**Suggestions for improvement to the process for the next appraisal period**

## Training and development needs identified

| Staff group            | Identified needs – please provide clear details and timescales |
|------------------------|----------------------------------------------------------------|
| Headteacher            |                                                                |
| Leadership             |                                                                |
| Teachers               |                                                                |
| Support Staff          |                                                                |
| Other – please specify |                                                                |