

Warwickshire Early Years Quality Standards and Safeguarding Team



Appraisal Policy Framework

This model policy framework has been developed to support all Early Years providers working with children aged from birth to five years, with a focus on good practice in relation to appraisals. **Please note this is an Appraisal Policy Framework and should not just be used in its entirety.** When using this policy framework, each individual setting should reflect upon their own policies and procedures and adapt the policy framework based upon these.

Additional elements to consider are included within the policy and are highlighted in yellow. Settings should consider these points in relation to their own policies and procedures and include reference to these points when relevant.

Appraisal Policy Framework

Policy Statement.

(Insert name of setting here), values all members of staff and understands that appraisal is an important way of providing all staff with the opportunity to discuss and review with their line-manager the progress and achievements they have made in the year and to discuss any training or developmental opportunities that may arise. Appraisals provides valuable opportunities to discuss and reinforce equality policies and staff responsibilities.

The appraisal system used at (Insert name of setting here), is linked with supervision and our appraisal system takes the form of a series of short supervisory meetings during the year, followed by a more formal staff appraisal once a year.

This Appraisal Policy Framework outlines the way in which appraisals should be conducted at (insert name of setting here).

This Appraisal Policy framework is linked with (but not exclusive to) other policies for the setting, including:

- Supervision Policy.
- Child Protection / Safeguarding Policy.
- Complaints Policy.
- Equality and Diversity Policy.
- Staffing and Employment Policy- staff induction, training, and development.
- Staff Code of Conduct Policy.

The Purpose of Appraisals.

At (insert name of setting here), we have agreed that the main functions of appraisals are to:

- Provide constructive feedback on performance.
- Identify training and development needs.
- Set achievable goals and objectives.
- Support career progression and professional development.

This appraisal policy at (insert name of setting here), applies to all permanent, temporary, full-time, part-time, and voluntary early years staff.

Appraisals and Supervisions.

At (insert name of setting here) both appraisals and supervisions are an important aspect of staff development and as a setting, we value both aspects and understand that the processes and outcomes of these meeting feed into one another.

Appraisals at (insert name of setting here) involves reviewing staff's performance over a period of time. Appraisals allows job roles and individual development to be reviewed, objectives to be agreed for improvement and identifies how training needs will be met. The outcomes and actions from appraisal meetings then feed directly into staff supervision meetings which are held monthly/ half termly/ termly/ every.... months.

Supervision meetings which take place at (insert name of setting here) involve regular contact between a staff member and an identified senior member of staff, such as the Manager, to discuss how things are going, particularly in relation to:

- Children's development or wellbeing, including child protection concerns,
- A discussion around any issues and looking for potential solutions.
- An agreement of actions, guidance and support focused upon these issues.

The outcomes from supervision meetings will feed into staff appraisals and the outcomes from appraisals will feed into supervision meetings.

Appraisal for All Staff.

At (insert name of setting here) we recognise that all our staff should receive an appraisal, this includes our Leaders, Managers, Volunteers, Room Leaders, and Practitioners.

At (insert name of setting here) we aim to provide a climate in which staff value and support each other and give constructive feedback to their work colleagues as part of normal everyday practice.

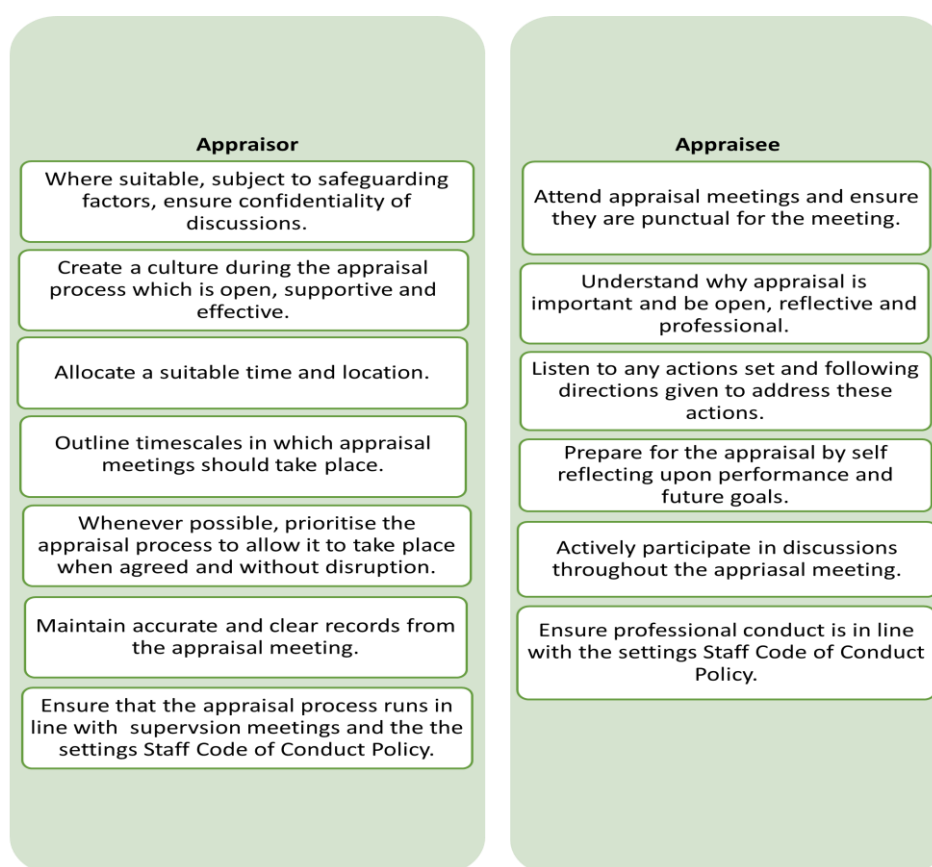
Informal appraisal.

- Informal appraisal happens any time staff receive feedback about their performance from their work colleagues, their supervisor, or the nominated supervisor.
- The nominated supervisor will give positive feedback to employees to show appreciation for each staff member's efforts.
- Issues or concerns will be addressed straight away thus preventing the development of conflict or major problems.

Formal Appraisal.

At (insert name of setting here) all staff will be introduced to the formal appraisal system during their induction. An initial performance appraisal will take place within 3 months of the appointment to ensure new staff are clear about their responsibilities and what is expected, and thereafter a formal appraisal will take place at least every 12 months. A mutually agreed date for the performance appraisal will be set at least 2 weeks prior to the performance appraisal meeting.

Roles and Responsibilities. As a setting, we understand that in effective appraisals there are distinct roles, the line Manager (Appraiser) and the Staff member (Appraisee.)



At (insert name of setting here), we recognise that all staff should receive an appraisal and have allocated who is responsible for completing each staff members appraisal.

At (insert name of setting here) we recognise that Leaders and Managers also require appraisal and in our setting the appraisal of Leaders and Managers in our setting is facilitated by:

- Committee Chair/nominated person for childcare.
- School Governor/Head/Deputy/nominated person for childcare.
- A Deputy working alongside a Director/ Committee Chair/nominated person for childcare.
- A Manager joining up with another early year's provision to receive peer to peer support.
- The Owner or Area Manager.
- An independent Early Years Consultant.

At (insert name of setting here) we recognise that all members of staff who complete appraisals, should be **trained appropriately**, and we ensure that on-going support and training is provided to help them fulfil this role.

Preparation for Appraisal Meetings.

Prior to an appraisal meeting taking place, time should be spent by both parties to prepare for the appraisal session.

At (insert name of setting), we agree that appraisal should:

- Be planned and held at an agreed time and venue.
- Be held in a private space.
- Be supported and informed by clear and accurate job descriptions/ person specifications.
- Take approximately 30 minutes / 45 minutes / an hour.
- Be structured with an agreed agenda in relation to the roles of the individual.
- Have flexibility within the agenda to discuss additional aspects desired by the appraisee.

Before the appraisal meetings at (insert name of setting), staff members are given a self-reflection form to complete which invites them to reflect upon their job role, performance, and future goals. This is then returned to the settings leader and used during the meeting to guide the discussions.

During Appraisal Meetings.

At (insert name of setting here) the following aspects will form part of the appraisal meeting.

- Review of previous objectives (looking at previous appraisal document) and whether these have been met.
- Review of supervision notes throughout the year.
- Acknowledge and celebrate achievements in the last 12 months.
- Look at current role and responsibilities and whether these needs to be reviewed.
- Constructive feedback on areas of difficulty and exploring ways of overcoming them- including identifying any training or further support.
- Review the required professional skills and knowledge and identify any development needs.
- Explore future goals, training needs, career progression.
- Agree new objectives for the next 12 months.
- Plan and agree actions.

Recording Appraisal Meetings

At (insert name of setting), a record of the appraisal meeting will be made using the settings agreed proforma. The report will include details of the objectives which were agreed for the appraisal period in question, an assessment of the employee's performance against their objectives, an assessment of an employee's professional development needs and identification of any action that should be taken to meet them.

The actions and agreed goals will also be entered onto the staff members professional development plan, along with agreed dates and procedures. These actions and goals will be revisited at the next supervision meeting.

The record will be shared with the Appraisee within one week of the appraisal meeting. Both the Appraiser and Appraisee should retain a signed copy of the record, which should be kept in a secure and confidential location.

Additional elements to consider:

- Where are record stored?
- Is records paper based or electronic?
- How will the records be shared with individual staff members?
- When will the records be shared with individual staff members?

Confidentiality

At (insert name of setting here) appraisals will include a joint commitment to openness and honesty about what may be treated as confidential by both the staff member and the leader. Matters discussed in an appraisal meeting will be treated as confidential when it is agreed that it is unnecessary to discuss them elsewhere. However, on occasions where difficult issues will have to be discussed elsewhere, or safeguarding concerns are shared that need to be escalated, the leader will be open and transparent about when and why this is necessary and how it will be done.

All appraisal discussions and documents will be kept confidential and shared only with relevant parties where necessary.

Supporting Training and Professional Development.

At (insert name of setting), we place great value upon staff training and professional development and will ensure provision is made for staff training and professional development through:

- Organizing training / professional development opportunities and ensure that opportunities are provided on an equitable basis to all educators / staff.
- Ensuring all employees discuss their training and professional development interests as part of the setting induction process.
- Ensuring that all staff are given adequate supervision and on-the-job training to enable them to work safely.
- Developing a training plan with input from the staff team at the beginning of each year based on the setting improvement plan, professional development needs, and the professional development plans of each team member.
- Ensuring staff meetings have training on the agenda as an on-going agenda item.
- Providing a range of training and professional development opportunities which will include a range of the following options:
 - Planned staff meetings which have a professional development focus.
 - Training events / workshops held within the setting which provide staff with the opportunity to share their expertise.
 - Relevant resources e.g., books, articles, etc. are available and staff are encouraged to discuss interesting ideas and information with the rest of the team at staff meetings.
 - Participation in external workshops, and conferences provide opportunities for staff / educators to provide feedback to the rest of the team at staff meetings.
 - Short courses relevant to individual professional development needs.
 - Study towards nationally recognized qualifications.
 - Study leave, to pursue further vocational studies.
 - On the job training through taking on new responsibilities within the setting.

Monitoring and Evaluation.

At (insert name of setting), we will ensure that systems are in place to regularly review appraisal policy and procedures to ensure they remain effective and relevant.

Each year staff views of the appraisal process will be gained through feedback, questionnaires, and staff discussion. These are valued and used to improve practice throughout the setting. In addition to this each year Leaders, Managers, and all staff will review the systems and procedures in place regularly to assess how well they are working and make appropriate changes to improve effectiveness.

Concerns about the Appraisal Process.

All staff have a responsibility to ensure an effective appraisal process is in place across our setting. If staff hold a concern regarding the appraisal process, these should be reported directly to the Manager. If for any reason, this is not appropriate, concerns can be raised to the Committee / Chair of Governors / Area Manager.