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# Performance Management Policy

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**This policy has been adopted from the Central South Consortium Model Performance Management Policy, in line with The School Government (Wales) Regulations 2002, The School Teacher Appraisal (Wales) Regulations 2011 and Welsh Government Performance Management Guidelines 2016**

## 1. About this policy

This policy sets out the performance management arrangements for the head teacher and teachers of Evenlode Primary School. It has been agreed by the governing body, headteacher and local authority and follows consultation with all staff members and recognised trade unions. It describes the purpose, procedures, roles and responsibilities that will ensure that the school's performance management arrangements contribute to the professional development of its staff and to the achievement of wider development objectives for the school and its learners.

The policy will be reviewed annually and any necessary amendments will be the subject of further consultation with staff members. The policy was last reviewed in April 2019. The headteacher will provide the governing body with an annual written report on the operation and effectiveness of this policy including the training and development needs arising from the performance management process.

This policy has been produced with due regard to the current appraisal regulations and accompanying guidance published by the Welsh Government. These can be found at:

### Regulations

[www.legislation.gov.uk/wsi/2011/2940/contents/made](http://www.legislation.gov.uk/wsi/2011/2940/contents/made)

### Guidance

<https://learning.gov.wales/docs/learningwales/publications/120510performteachen.pdf>

This policy does not apply to:

- newly qualified teachers (NQTs) undergoing their statutory period of induction who are exempted from performance management arrangements
- teachers employed for a fixed period of less than one school term.

## 2. Principles underpinning performance management

Performance management is a school improvement tool which is fully inclusive. It sets a framework for teachers and school leaders to agree and review priorities and objectives in the context of the school's improvement plan. Performance management provides the opportunity of a shared commitment to achieving high standards. It helps to focus attention on more effective teaching and, therefore, benefits pupils, teachers and the school. It means providing appropriate and effective training, guidance and development opportunities to individuals to ensure job satisfaction, a high level of expertise and career progression.

The following principles will underpin our performance management arrangements.

- Trust, confidentiality and professional dialogue between appraiser and appraisee.
- Consistency so that all staff are treated fairly.
- Recognition of strengths and a commitment to share effective practice.
- A commitment to provide constructive feedback on performance.
- Rigorous and evidence-based.
- A shared commitment to meeting the school's improvement plan and appropriate national priorities.

- The Policy is intended to be developmental and supportive.
- The Policy will be central to school improvement planning and self-evaluation.

The Governing Body recognise the entitlement of a work/life balance for teachers and the headteacher as established within the School Teachers' Pay and Conditions Document (STPCD). Consequently, the policy has been workload impact assessed (see Annex A) and the school will organise all performance management activities within directed time but not within planning, preparation and assessment (PPA) time.

The Governing Body is committed to ensuring that the performance management process is fair and non-discriminatory.

### **3. Professional standards**

Teachers are required to meet the Teacher Standards at the end of their induction period and must continue to meet them throughout their career. The headteacher is required to meet the Leadership Standards. Other practitioners may choose to use the Leadership Standards as a reference for their leadership development where this is identified as a priority for their professional development.

The professional standards should be considered as a whole to provide a backdrop to discussion and to help practitioners identify areas for further development.

The relevant professional standards can be found at:

<https://learning.gov.wales/docs/learningwales/publications/170901-professional-standards-for-teaching-and-leadership-en.pdf>

### **4. Timing of the performance management cycle**

The school's annual performance management cycle will start in October and be completed by July.

The appraisal cycle has been timed to link with the school's annual planning cycle.

### **5. Appointment of appraisers**

The headteacher will appoint an appraiser for every teacher in the school. The appraiser would normally be the line manager of the appraisee. The appraiser will conduct all aspects of the review, including pay recommendations for teachers who are eligible.

Teachers and the headteacher have the right to object to an appraiser on the grounds of consistency and fairness.

The headteacher's appraisal will be carried out by a panel consisting of:

- at least two governors appointed by the governing body
- one or two representatives appointed by the local authority usually the schools' Challenge Advisor.

## 6. The performance management plan

Performance management will be a continuous cycle throughout the year involving three stages of planning, monitoring performance and reviewing performance.

The appraiser(s) will meet with the teacher/headteacher at the start of the cycle to plan and prepare for the annual appraisal. This meeting may be combined with the review meeting held at the end of the previous cycle.

All teachers, including the headteacher, will have no more than four objectives.

The meeting will seek to agree the following:

- The objectives for the cycle and professional development activities to support achievement of the objectives.
- The four objectives will relate to an agreed whole school objective and a departmental objective based on the School Improvement Plan (SIP), and two objectives that are based around pupil performance.
- The objectives will be challenging, realistic, achievable, time-bound, fair and equitable in relation to teachers with similar roles, responsibilities and experiences.
- The agreed objectives will have regard to what can reasonably be expected of any teacher or the headteacher given the desirability of the appraisee to achieve a satisfactory work/life balance.
- Objectives may be revised by the appraiser in exceptional circumstances and the reasons must be recorded. Additionally, objections may be recorded by the appraisee.
- A record of the planning meeting will be kept by the appraiser and appraisee on the Excellence in Teaching performance management section.
- There will be no requirement to schedule formal review meetings during the cycle but informal discussions may take place and should be agreed at the planning meeting. They may coincide with feedback from lesson observations and a written record should be kept.

### Monitoring Procedures

The monitoring procedures including arrangements for observation of teaching are as follows:

- There should be a limit of a total of three observations for all purposes and this should not exceed three hours per year. The focus and timing of the observations will be agreed and recorded at the planning meeting.
- An agreed classroom observation protocol will support the monitoring process. (See Appendix B)
- Classroom observation will be undertaken solely by persons with Qualified Teacher Status (QTS). The appraisee will be given a record of the lesson observation which will be stored on the Excellence in Teaching platform.
- Lesson observation will normally be undertaken by the appraisers, who must observe the appraisee on at least one occasion. However, it may be agreed at the planning meeting that some of the observation will be carried out by a person other than the appraiser.
- Where the observation is undertaken by a person other than the appraiser, a record of the lesson observation must be given to the appraiser and the appraisee.
- The selection of the lessons to be observed will be balanced to reflect the range of work undertaken by the appraisee.
- All lesson observations will be undertaken through performance management other than during an Estyn inspection, or by Estyn in circumstances where an inspection report categorises a school as

requiring significant improvement or special measures, or a teacher becoming subject to capability procedures.

- No information may be sourced from another person, either written or verbal, without the consent of the appraisee.

In the case of the headteacher's performance plan only, the chair of the governing body will provide, on request, a copy of the headteacher's objectives to Estyn.

The arrangements for monitoring performance against the objectives, including the use of observation, will be decided during the planning meeting and recorded by the appraiser(s).

The appraisee and appraiser(s) will keep progress under review throughout the cycle, including the use of informal discussion.

Appraisees are required to maintain an up-to-date practice, review and development (PRD) record during the course of the appraisal cycle.

The purpose of the PRD record is to support appraisees in:

- meeting the requirements of the appraisal regulations to keep an up-to-date record of:
  - their own assessment of their performance against their performance management objectives;
  - professional development undertaken, or other support provided, and how this is contributing to the achievement of objectives;
  - any factors which the practitioner considers are affecting performance against the objectives;
- providing a focus for discussion at the review meetings and may be discussed informally during the cycle and at the planning meeting for the next cycle.

The PRD record is a personal record held by an appraisee but it will be required for use in the review meetings and should inform the planning meeting for the next cycle.

The PRD record will not form part of the appraisal statement.

The PRD record should be a short, concise document.

## **7. The review meeting**

At the end of the performance management cycle a formal review meeting will be held where the appraiser and appraisee will discuss achievements, any areas for improvement and professional development activities. On the understanding that the planning meeting is a separate process, this meeting may be combined with the planning meeting for the next annual cycle.

The PRD record will provide a focus for the review meeting.

The purpose of the review meeting will be to:

- assess the extent to which the appraisee has met their objectives
- determine whether there has been successful overall performance in confirming the appraisee continues to meet the relevant professional standards
- if necessary, identify the need for additional support, training or development and how this will be met.

Good progress towards the achievement of a challenging objective will be assessed favourably.

No information may be sourced from another person either written or verbal without the consent of the appraisee.

## **8. The appraisal review statement**

Within ten school days of the review meeting the appraiser(s) will provide the appraisee with a written statement of the main points made at the review meeting and the conclusions reached. Annexed to the statement will be a summary of professional development needs and an indication of how these might be met.

The appraiser will seek to agree the final wording of the appraisal statement with the appraisee.

The appraisee may, within ten school days of receiving the final appraisal statement, add comments in writing. These comments will then form part of the statement.

The appraiser must not obtain information from any other person, whether written or oral, relevant to an appraisee's performance without the consent of the appraisee.

Both the appraisal statement and the annex are confidential documents and must be kept in a secure place. The provisions of the Data Protection Act will be followed at all times.

## **9. Pay progression recommendations**

Pay progression recommendations must be made by the appraiser or eligible teachers as a result of their performance management review when teachers have met or made significant progress towards meeting their objectives. The performance review at the end of the cycle must be the only source of evidence teachers require to support pay progression. However, should teachers wish to submit additional evidence they can do so, but they will not be requested or directed to submit additional evidence or penalised if they choose not to do so.

## **10. Appeals**

The appraisee may appeal against the appraisal statement within ten school days of receiving the appraisal statement. An appeals officer or, in the case of the headteacher, an appeals panel will be appointed to conduct a review.

All appeals will be conducted in accordance with the current Appraisal Regulations and the associated Welsh Government guidance.

In summary, the appeal process will involve the following stages.

- Appraisee lodges appeal with the governing body.
- Appeals officer/panel appointed.
- Appeals officer/panel provided with copy of appraisal statement within five school days of receiving notice of appeal.
- Appeal review will be carried out within ten school days of receiving appraisal statement.
- The appeals officer/panel must take into account any representations made by the appraisee.
- The appeals officer/panel may then decide:
  - that the appraisal has been carried out satisfactorily
  - with the agreement of the appraiser(s), to amend the appraisal statement;
  - to order that a new appraisal be carried out.
- If there is a determination for a new appraisal, the process should take no more than fifteen school days.
- The appeals officer/panel cannot determine that:
  - new objectives can be set
  - existing objectives be revised.

## **11. Use of appraisal statements**

The whole performance management process, the statement of objectives and the appraisal statement are personal and confidential documents and will be kept in a secure place.

### **Teachers**

The appraiser must give a copy of the appraisal statement to the appraisee and to the headteacher. In turn, the headteacher will, on request, provide a copy to:

- the appraiser;
- an appeals officer;
- any governors responsible for making decisions or giving advice on matters in relation to pay.

Where the appraisee is eligible for pay progression under the STPCD, the appraiser will provide a recommendation on pay progression to the headteacher in line with provisions of the STPCD.

The headteacher will provide a copy of the annex to the appraisal statement detailing professional development needs to the person with whole-school responsibility for planning provision for training and development.

The appraisal statement will be kept by the headteacher in a safe and secure place until at least six years after the next appraisal statement has been finalised. This length of time is in line with threshold arrangements.

### **Headteacher**

In the case of the headteacher's performance management the appraisers will give copies of the appraisal statement to the headteacher, the chair of the governing body and the chief education officer. Appraisers

will also, on request, provide a copy to any governors responsible for making decisions or giving advice on matters in relation to pay.

The chair of the governing body will also provide, on request, a copy of the headteacher's appraisal statement to:

- any officer designated by the chief education officer responsible for the performance of headteachers;
- any appeals officer.

The chair of the governing body will provide a copy of the annex to the appraisal statement detailing professional development needs to the person with whole-school responsibility for planning provision for training and development.

The appraisal statement will be kept by the governing body in a safe and secure place until at least six years after the next appraisal statement has been finalised. The headteacher will also keep a copy of the appraisal statement for the same period of time.

Information from the headteacher's appraisal statement may be taken into account by the governing body (or its committees) in matters relating to the promotion, discipline or dismissal of the headteacher or in relation to any discretion over pay.

## **12. Preventing underperformance**

Effective line management arrangements, including the effective use of the procedures outlined in this policy, will help prevent underperformance through early identification, support and intervention.

If a teacher's performance is causing serious concern and evidence has been provided to demonstrate this, then the informal stage of the capability procedure should be applied.

Information from the appraisal statement can be taken into account when making decisions about pay, promotion, dismissal, or disciplinary matters. However, the performance management procedures set out in this policy, including the review meeting and appraisal statement, do not form part of any disciplinary, competency or capability procedures.

## **13. Training and support**

The school's continuing professional development (CPD) programme will be informed by the training and developmental needs identified in the training annex of the appraisee's planning and review statements.

The governing body will ensure in the budget planning that, as far as possible, appropriate resources are made available for any training and support agreed for appraisees.

Appraisees will not be held accountable for failing to make good progress towards meeting their performance management objectives where the support recorded in their planning statement was not provided.

All appraisers will be provided with training to enable them to discharge all aspects of their role appropriately and effectively.

## APPENDIX 1

### Workload Impact Assessment Checklist

This policy has been assessed against the agreed system to monitor the workload and working hours of teachers and the headteacher.	<input type="checkbox"/>
This policy complies with and is consistent with the teachers' contractual entitlements.	<input type="checkbox"/>
This policy and any related procedures were introduced following full consultation with the teacher trade unions.	<input type="checkbox"/>
This policy and any related procedures include a specific statement regarding workload impact.	<input type="checkbox"/>
This policy and related procedures will not add additional hours of working.	<input type="checkbox"/>
This policy does not duplicate any other existing policy.	<input type="checkbox"/>
The resources necessary to support this policy, including staff time, any additional staffing and appropriate equipment, have been identified.	<input type="checkbox"/>
The implementation of this policy will not result in any additional meetings/activities that have not been identified within the school calendar, published and revised in consultation with teacher trade unions.	<input type="checkbox"/>
All staff (including the headteacher) will be trained to ensure that this policy and any related procedures are carried out without increasing workload burdens.	<input type="checkbox"/>
This policy and related procedures will be reviewed annually to ensure that additional workload burdens have not been added over time.	<input type="checkbox"/>

## APPENDIX 2

# Lesson Observation Protocol

### Introduction

This governing body is committed to ensuring that lesson observation is developmental and supportive and that those involved in the process will:

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

### Planning and preparing for lesson observation

In keeping with the school governing body's commitment to supportive and developmental lesson observation the headteacher will:

- consult teachers on the pattern of lesson observation which they can expect annually and seek agreement with teachers and union representatives on these arrangements;
- ensure that those being observed for all purposes will be notified at least five working days in advance;
- arrange, as far as possible, for all observations to take place at a time agreed between the appraisee and the observer;
- ensure that there is a reasonable amount of time between lesson observations, irrespective of the purpose of those observations;
- ensure that classroom observation will be undertaken solely by persons with qualified teacher status (QTS) and the appropriate training and professional skills to undertake observation and to provide constructive oral and written feedback and support, in the context of professional dialogue between colleagues.

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

- the amount of observation;
- the focus of the observation;
- the duration of the observation;
- when during the performance management cycle the observation will take place; and
- who will conduct the observation.

In order that lesson observation is kept to a minimum, and to support efforts to deliver the school's commitment to streamlining data collection and minimising bureaucracy and workload burdens on appraisees, the information gathered will be used for multiple purposes, including informing school self-evaluation and school-improvement strategies. This will enable the headteacher, in the exercise of her/his duty to evaluate the standards of teaching and learning, and to ensure that proper standards of professional performance are established and maintained.

Before any lesson observation is conducted, there will be an opportunity for the appraiser and appraisee to meet within directed time in order that the context of the lesson to be observed can be discussed.

### **Conducting observation**

There will be a limit of a total of three observations for all purposes. Under no circumstances shall the total time occupied by all observations exceed three hours per year and the focus and timing must be agreed in the appraisee's performance management planning record.

Neither pupils nor governors will undertake observations (although governors may, by prior agreement with the teacher concerned, visit a lesson to familiarise themselves with their link area).

### **Feedback and records**

Oral feedback will be given as soon as possible after the lesson observation and no later than the end of the following working day. It will be given during directed time in a suitable, private environment. Time for preparation and feedback for lesson observation for performance management/appraisal purposes will be made available in addition to PPA time.

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 discussed with the appraisee.

The written record of feedback will include the date on which the observation took place, the lesson observed and the length of the observation. The appraisee has the right to append written comments on the feedback document. No written notes in addition to the written feedback and appraisee's comments will be kept. The appraiser will be given sufficient time within the school day to put in written form the conclusions agreed with the appraisee on the outcomes of the classroom observation.

Teachers will have access to all written accounts of the observation after their lessons and if they request, copies will be provided.

### **Classroom observation and formal capability procedures**

For teachers on a formal capability procedure an important part of the support offered to the teacher will be a clearly defined amount of classroom observation with structured oral and written feedback. The amount of classroom observation will be discussed with the teacher and their union representative who is supporting and advising them in the formal process.