

Title: Model Performance Management Policy for Schools

Function: Information

Status: Strongly recommended

Audience: Governors, headteachers, Teachers and LAs

Issued: March 2007

**With Additional Kirklees Guidance agreed by the Kirklees School
Teachers Performance Management Working Party**

Model Performance Management Policy for Schools

INTRODUCTION

This model performance management policy has been prepared by the Rewards and Incentives group (RIG) and is recommended for schools to use to support the implementation of the revised performance management arrangements set out in the Education(School teacher Performance Management) (England) Regulations 2006. **The Kirklees guidance in bold at the end of sections has been agreed by NUT, NASUWT, ATL, NAHT and KASH.**

These regulations come into force on 1st September 2007 with the first performance management planning statement under the revised arrangements needing to be completed by 31st October 2007 for teachers and 31st December 2007 for Headteachers. The revised regulations will apply for pay progression purposes from 1st September 2008. schools should ensure that all teachers are briefed on the performance management arrangements.

Regulation 7(9) requires that each Governing Body shall establish a written policy that shall:

- a) state what the results the policy is intended to achieve and how these will be measured;*
- b) show how the school's arrangements for school teacher performance management link with those for school improvement, school self-evaluation and school development planning;*
- c) show how the school will seek to achieve consistency of treatment and fairness between those teachers with similar experiences or levels of responsibility;*
- d) set out the timing of the cycle;*
- e) include a classroom observation protocol;*
- f) provide performance management training to be made available as the need arises;*
- g) state the arrangements for monitoring and evaluating the policy: and*
- h) specify any ancillary or supplementary procedures necessary for the operation of the performance management of teachers at the school in accordance with these regulations.*

It may also set out the procedures for moderation.

The regulations require that the Governing Body shall ensure that the performance of teachers and the headteacher is managed and reviewed in accordance with the regulations and the school's Performance Management policy. Before establishing or revising the school's performance management policy the Governing Body shall seek to agree the policy with the recognised trade unions, having regard to the results of the consultation with all teachers.

As the school is required to demonstrate the link between performance management, School improvement and its development plan, it is good practice to consult all teachers on the school improvement plan and self-evaluation process.

The model performance management policy has been drafted in accordance with the regulations and the 'Performance Management for teachers and head teachers guidance' published by the RIG. The regulatory requirements are stated clearly and where Governing Bodies are able to exercise discretion, the options available are also identified. In drawing up their performance management policy, schools will need to decide for each area of direction which options to choose.

In the model policy text in **BOLD** is required by regulation. Text in **BOLD ITALICS** identifies issues which are required by regulation but where there are options on the way they are interpreted. Text in *ITALICS* is good practice guidance recommended for inclusion.

The model performance management policy applies only to teachers and headteachers. There are no national performance management regulations which apply to support staff and there is no national agreement on performance management with support staff unions.

The model performance management policy does not duplicate everything that is covered by regulations and guidance, rather it sets out what are considered to be the key points for school policies. For this reason the policy should be read in conjunction with the regulations and the guidance.

Copies of the regulations and RIG guidance are readily available for reference to all teachers. Copies can be downloaded from <http://www.teachernet.gov.uk/management/payandperformance/performance/performancemanagement>

Hard copies can be ordered from Prolog (08456 022260) quoting the reference 03984-2006BKT-EN

This model policy has been written in the context of schools but the same principles apply equally to the performance management of unattached teachers covered by Part 3 of the regulations and Local Authorities will want to consider this when reviewing their performance management policies.

MODEL PERFORMANCE MANAGEMENT POLICY

The Governing Body of School adopted this Performance Management policy on

APPLICATION OF THE POLICY

The policy applies to the headteacher and to all teachers employed by the school except on teachers on contracts of less than one term, those undergoing induction (*i.e.* NQTs) and those who are the subject of capability procedures.

PURPOSE

*This policy sets out the framework for a clear and consistent assessment of all the overall performance of teachers and the headteacher **and for supporting their development needs within the context of the school's improvement plan and their own professional needs.** Where teachers are eligible for pay progression, the assessment of performance throughout the cycle against the performance criteria specified in the statement will be the basis on which the recommendation is made by the reviewer.*

This policy should be read in conjunction with the school's pay policy which provides details of the arrangements relating to teacher's pay in accordance with the School Teachers' Pay and Conditions Document.

LINKS TO SCHOOL IMPROVEMENT, SCHOOL SELF-EVALUATION AND SCHOOL DEVELOPMENT PLANNING

*To comply with the requirements to show how **the arrangements for performance management link with those for school improvement, school self-evaluation and school development planning** and to minimise workload and bureaucracy the performance management process will be the main source of information as appropriate for school self-evaluation and the wider school improvement process.*

Similarly, the school improvement and development plan and the school's self-evaluation form are key documents for the performance management process.

All reviewers are expected to explore the alignment of reviewees' objectives with the school's priorities and plans. The objectives should also reflect reviewees' professional aspirations.

CONSISTENCY OF TREATMENT AND FAIRNESS

The Governing Body is committed to ensuring consistency of treatment and fairness in the operation of performance management.

To ensure this the following provisions are made in relation to moderation, quality assurance and objective setting.

Quality assurance

The headteacher has determined that s/he will:

Option 1
be the reviewer for all teachers

OR

Option 2
delegate the reviewer role for some or all teachers for whom s/he is not the line manager. In these circumstances the headteacher will:

EITHER

(a) moderate all the planning statements to check that the plans recorded in the statements of the teachers at the school:

- ***are consistent between those who have similar experience and similar levels of responsibility;***
- ***comply with the school's performance management policy, the regulations and requirements of equality legislation***

OR

(b) moderate a sample of planning statements to check that the plans recorded in the statement of teachers at the school:

- ***are consistent between those who have similar experience and similar levels of responsibility;***
- ***comply with the school's performance management policy, the regulations and requirements of equality legislation***

OR

(c) chose not to moderate any planning statements

Kirklees Guidance – Option (a) or (b). if choosing (b) we recommend that headteachers moderate all statements at points of pay progression.

Kirklees do not recommend Option (c).

The Governing Body will:

Option 1

nominate the Chair of the Governing Body, who will not be involved in the head teacher's performance management or any appeal regarding the head teacher's performance management to ensure that the head teacher's planning statement is consistent with the school's improvement priorities and complies with the school's performance management policy and the regulations.

OR

Option 2

nominate (up to three governors – state the number), who will not be involved in the head teacher's performance management or any appeal regarding the head teacher's performance management to ensure that the head teacher's planning statement is consistent with the school's improvement priorities and complies with the school's performance management policy and the Regulations.

OR

Option 3

choose not to quality assure the planning statement.

The Governing Body will review the quality assurance processes when the performance management policy is reviewed.

Kirklees Guidance – we believe that the appointed SIP will ensure the quality of the statement, therefore governors would not be required to undertake this.

OBJECTIVE SETTING

The objectives set will be rigorous, challenging, achievable, time-bound, fair and equitable in relation to teachers with similar roles/responsibilities and experience, and will have regard to what can reasonably be expected of any teacher in that position given the desirability of the reviewee being able to achieve a satisfactory balance between the time required to his discharge his professional duties and the time required to pursue his personal interests outside work, consistent with the school's strategy for bringing downward pressure on working hours. They shall also take account of the teacher's professional aspirations and any relevant pay progression criteria. They should be such that, if they are achieved, they will contribute to improving the progress of pupils at the school.

The reviewer and reviewee will seek to agree the objectives but where a joint determination can not be made the reviewer will make the determination.

In this school (choose as applicable):

all teachers, including the head teacher, will have no more than objectives

teachers, including the head teacher, will not necessarily all have the same number of objectives

all teachers, including the head teacher, will have a whole school objective

all teachers, including the head teacher, will have a team objective as appropriate

Kirklees Guidance – we recommend 3 objectives.

Though performance management is an assessment of overall performance of teachers and the head teacher, objectives cannot cover the full range of a teachers role/responsibilities. Objectives will, therefore, focus on the priorities of an individual for the cycle. At the review stage it will be assumed that those aspects of a teachers roles/responsibilities not covered by the objectives or any amendments to the statement which may have been necessary in accordance with the provisions of the regulations have been carried out satisfactorily.

Reviewing Progress

At the end of the cycle assessment of performance against an objective will be on the basis of the performance criteria set at the beginning of the cycle. Good progress towards the achievement of a challenging objective, even if the performance criteria have not been met in full, will be assessed favourably.

The performance management cycle is annual, but on occasions it may be appropriate to set objectives that will cover a period over more than one cycle. In such cases, the basis on which the progress being made towards meeting the performance criteria for the objective will be assessed at the end of the first cycle and will be recorded in the planning and review statement at the beginning of the cycle.

APPEALS

At specified points in the performance management process teachers and head teachers have a right of appeal against any of the entries in their planning and review statements.
Where a reviewee wishes to appeal on the basis of more than one entry this would constitute one appeal hearing.

Details of the appeals process are covered in the school's pay policy.

CONFIDENTIALITY

The whole performance management process and the statements generated under it, in particular, will be treated with strict confidentiality at all times. Only the reviewee's line manager or, where s/he has more than one, each of her/his line managers will be provided with access to the reviewee's plan recorded in his/her statement, upon request, where this is necessary to enable the line manager to discharge his/her line management responsibilities. Reviewees will be told who has requested and been granted access.

TRAINING AND SUPPORT

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

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

An account of the training and development needs of teachers in general, including the instances where it did not prove possible to provide any agreed CPD, will form a part of the head teacher's annual report to the governing body about the operation of the performance management in the school.

With regard to the provision of CPD in case of competing demands on the school budget, a decision on relative priority will be taken with regard to the extent to which: (a) the CPD identified is essential for a reviewee 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. Teachers 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.

Kirklees Guidance – please give careful consideration to the inclusion, or not, of the sentence in the final paragraph above - “The school's priorities will have precedence.”

APPOINTMENT OF THE REVIEWERS FOR THE HEADTEACHER

Appointment of Governors

In this school:

Option 1

The Governing Body is the reviewer for the head teacher *and to discharge this responsibility on its behalf may appoint 2 or 3 governors.*

OR

Option 2 (for schools with a religious character)

The Governing Body is the reviewer for the head teacher *and to discharge this responsibility on its behalf appoints 2 or 3 governors of which (at least one) will be a foundation governor.*

OR

Option 3 (for voluntary aided schools)

The Governing Body is the reviewer for the headteacher *and to discharge this responsibility appoints:*

EITHER

Two governors of which (at least one) will be a foundation governor.

OR

Three governors of which (no less than two) will be foundation governors.

submit a written request to the Governing Body for that governor to be replaced, stating those reasons.

Appointment of School Improvement Partner or External Adviser

Option 1

The Local Authority has appointed a school improvement partner for the school who will provide the governing body with advice and support in relation to the management and the review of the performance of the head teacher.

Kirklees Guidance – please consider adding to this section that should the Governing Body or Headteacher have a concern about the appropriateness of the advice from the SIP, or if confidentiality is breached, then the LA will be informed immediately and appropriate protocols, as laid down in the Kirklees Handbook for SIPs, will be followed.

OR

Option 2

A school improvement partner has not yet been allocated to this school and the Governing Body will appoint an external adviser to provide advice and support in relation to the management and review of the performance of the head teacher.

Kirklees Guidance – Option 2 does not apply to Kirklees.

APPOINTMENT OF THE REVIEWERS FOR TEACHERS

In the case where the head teacher is not the teacher's line management, the head teacher may delegate the duties imposed upon the reviewer, in their entirety, to the teacher's line manager. In this school the head teacher has decided that:

Option 1

The headteacher will be the reviewer for all teachers in the school.

OR

Option 2

The headteacher will be the reviewer for those teachers s/he directly line manages and will delegate the role of the reviewer, in its entirety, to the relevant line managers for some or all other teachers.

Where the headteacher has chosen Option 2, then:

EITHER

Line managers will be the reviewers for all those teachers they line manage.

OR

The maximum number of reviews that any line manager will be expected to undertake per cycle is

Kirklees Guidance – we recommend no more that 4 reviewees per reviewer.

Kirklees Guidance - This is a highly contentious area. – Please give very careful consideration here to reviewer arrangements at points of pay progression..

Where a teacher has more than one line manager the head teacher will determine which line manager will be best placed to manage and review the teacher's performance.

Where a teacher is of the opinion that the person to whom the head teacher has delegated the reviewer's duties is unsuitable for professional reasons, s/he may submit a written request to the headteacher for that reviewer to be replaced, stating those reasons.

When it becomes apparent that the reviewer will be absent for the majority of the cycle or is unsuitable for professional reasons the head teacher may perform the duties himself/herself or delegate them, in their entirety, to another teacher. Where this teacher is not the reviewee's line manager the teacher will have an equivalent or higher status in the staffing structure as the teacher's line manager.

The performance management cycle will not begin again in the event of the reviewer being changed.

All line managers to whom the head teacher has delegated the role of reviewer will receive appropriate preparation for that role.

THE PERFORMANCE MANAGEMENT CYCLE

The performance of the teachers must be reviewed on an annual basis. Performance planning and reviews must be completed for all teachers by 31st October and for head teachers by 31st December.

The performance management cycle in this school, therefore, will run from to for teachers, and from to for the head teacher.

Teachers who are employed on a fixed term contract or less than one year, will have their performance managed in accordance with the principles underpinning the provision of this policy. The length of the cycle will be determined by the duration of their contract.

Where a teacher starts their employment at a school part way through a cycle, the head teacher or, in the case where the teacher is the head teacher, the governing body shall determine the length of the first cycle for that teacher, with a view to bringing his cycle into line with the cycle for other teachers at the school as soon as possible.

Where a teacher transfers to a new post within the school part way through a cycle, the headteacher or, in the case where the teacher is the head teacher, the governing body shall determine whether the cycle shall begin again and whether to change the reviewer.

RETENTION OF STATEMENTS

Performance management and review statements will be retained for a minimum of 6 years.

MONITORING AND EVALUATION

The governing body will monitor the operation and outcomes of performance management arrangements.

The head teacher will provide the governing body with a written report on the operation of the school's performance management 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 performance management policy;**
- **the effectiveness of the school's performance management procedures;**
- **teachers' training and development needs.**

The Governing Body is committed to ensuring that the performance management process is fair and not discriminatory and the following, monitoring data should be included in the head teacher'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.*

The head teacher 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.

Kirklees Guidance – please consider the removal of the paragraph immediately above but headteachers must be mindful of equalities legislation in their reports to the Governing Body.

REVIEW OF THE POLICY

The Governing Body will review the performance management policy every school year at its meeting.

The Governing Body will take account of the head teacher's report in its review of the performance management policy. 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.

The Governing Body will seek to agree any revisions to the policy with the recognised trade unions having regard to the results of the consultation with all teachers.

To ensure that teachers are fully conversant with the performance management arrangements, all new teachers who join the school will be briefed on them as part of their introduction to the school.

ACCESS TO DOCUMENTATION

Copies of the school improvement and development plan and SEF are published on the school's intranet and/or can be obtained from the school office.

CLASSROOM OBSERVATION PROTOCOL

All classroom observation will be undertaken in accordance with the performance management regulations, the associated guidance published by the Rewards and Incentive Group and the classroom observation protocol that is appended to this policy in Annex 1.

Kirklees Guidance – please note that at the time of issue, Kirklees PM Working Party continues to develop its Classroom observation protocols guidance. It will be sent to all headteachers in the second week in May.

ANNEX 1 – 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; and*
- *respect the confidentiality of the information gained*

The total period for classroom observation arranged for any teacher will not exceed 3 hours per cycle having regard to the individual circumstances of the teacher. There is no requirement to use all of the three hours. The amount of observation for each teacher should reflect and be proportionate to the needs of the individual.

In this school ‘proportionate to need’ will be determined by:

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 performance management cycle the observation will take place and who will conduct the observation.

Where evidence emerges about the reviewee’s teaching performance which gives rise to concern during the cycle, classroom observations may be arranged in addition to those recorded at the beginning of the cycle, subject to a revision meeting being held in accordance with the Regulations.

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 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 support and developmental classroom observation those being observed will be notified in advance.

Kirklees Guidance – Kirklees does not believe that PM appointed governors, no matter what their professional background, should undertake any classroom observations with the framework of PM.

Classroom observations will only be undertaken by persons with QTS. *In addition, in this school classroom observation will only be undertaken by those who have had adequate preparation and the appropriate professional skills to undertake observation and to provide constructive oral and written feedback and support, in the context of professional dialogue between colleagues.*

Oral feedback will be given as soon as possible after the observation and no later than the end of the following working day. It will be given during directed time in a suitable, private environment.

Written feedback will be provided within 5 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 in accordance with regulations and guidance.*

*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.*

A head teacher has a duty to evaluate the standards of teaching and learning and to ensure that proper standards of professional performance are established and maintained. Head teachers have a right to drop in to inform their monitoring of the quality of learning.

*Clearly the performance management arrangements are integral to fulfilling this duty and head teachers may consider the classroom observations they have agreed for performance management are sufficient and that drop in will not be needed.
In this school:*

Option 1
drop ins will only be undertaken by the headteacher

OR

Option 2
as this school is a large school, drop ins will be undertaken by the head teacher supported by the following appropriate and designated member(s) of the leadership team

Drop ins will only inform the performance management process where evidence arises which merits of the revision of the performance management planning statement, in accordance with the provisions of the regulations.