PERFORMANCE MANAGEMENT A MODEL POLICY FOR SCHOOLS

In response to requests from headteacher and deputy headteacher NUT members, the Union has prepared a model performance management policy for schools.

The model policy meets all the points in the checklists already distributed to NUT school representatives and to members generally. The Union's model performance management policy will be included in a mailing to all NUT school representatives at the beginning of the Autumn Term.

DOUG McAVOY
General Secretary

THE NATIONAL UNION OF TEACHERS: A MODEL PERFORMANCE MANAGEMENT POLICY FOR SCHOOLS

This performance management policy complies with the appraisal regulations, 'Education (School Teacher Appraisal) (England) Regulations 2000' which are effective from 1 September 2000.

PERFORMANCE MANAGEMENT AND TEACHERS
The Governing Body believes that the following criteria should apply to performance management. Performance management should:
• improve teacher morale and motivation;
• lead to an entitlement of professional development according to need;
• be seen by staff as enabling rather than as having been imposed from the top down;
• encourage the development of confident and professional judgement among teachers;
• increase teachers' participation in decision-making and develop, in teachers, a greater sense of control over their work;
• identify the resources and facilities needed to support teachers; and
• be manageable and not introduce bureaucratic burdens.
To this end, the Governing Body believes that performance management in this school will be characterised by:
• an atmosphere of trust between teachers and team leaders;
• teachers having a proper opportunity for professional discussion with their team leaders about their work and their professional development; and
• manageability and equity.

The Governing Body and the Headteacher will ensure that training and professional development needs are reflected in the school's development plan and opportunities are made available to teachers within the school for professional development.
The Governing Body believes that the application of these criteria will contribute towards encouraging and sustaining pupil achievement. It believes, also, that such a policy should support teachers and not create additional and unnecessary burdens. The policy adopted by this school, therefore, does not add to that required by regulation.

THE APPLICATION OF THE POLICY

This policy covers all teachers except:
• school teachers in their induction year;
• school teachers employed for less than one year; and
• school teachers employed centrally by the local education authority.

The Governing Body recognises that the quality of the support that it gives to teachers to whom the performance management regulations apply will be applied equally to teachers in their induction year; teachers with short term contracts; and teachers in the school employed centrally by the Local Education Authority.

THE SCHOOL GOVERNING BODY AND PERFORMANCE MANAGEMENT

The Governing Body recognises that it has the responsibility for agreeing the overall policy for performance management in the school and that the development and review of the policy will be based on consultation and agreement. It recognises that the monitoring of the performance of teachers other than the Headteacher is the responsibility of the Headteacher and team leaders. Governors will not undertake evaluation of the work of teachers.

EQUAL OPPORTUNITIES

The Governing Body believes that fairness and consistency of judgement is essential to any performance management system. All teachers within the school have equality of opportunity to achieve their full potential and will not be discriminated against when agreeing objectives and when being involved in performance reviews. Teachers will not be discriminated against because of age, disability, gender, sexual orientation, nationality, race, religion or be treated unfairly because they work part-time or are union representatives.

The Governing Body believes that the school always has to be aware of the potential for unconscious discrimination, to avoid assumptions about individual teachers based on stereotypes and to use the performance management arrangements actively to encourage all teachers to achieve their full potential.
THE PERFORMANCE MANAGEMENT CYCLE
The performance management process will be based on reasonable objectives and expectations of each teacher. It will involve a three stage annual review process.

The Governing Body recognises that, after the first performance management cycle, the cycle will be on an annual basis. It has decided, however, that the maximum amount of time should be made available for the introduction of the first school performance management cycle. The Governing Body believes that the full 18 months allowed under the Regulations for the first cycle is necessary because lessons will need to be learnt and any excessive burdens identified and removed. The Governing Body agrees the timetable set out below for the first cycle.

• September 2000 - November 2000: Consultation of all teaching staff on the performance management policy. Consideration by the Governing Body of the draft presented by the Headteacher.
• November 2000 - End of February 2001: Meetings between job holders and team leaders to agree job holders' objectives (planning).
• March 2001 - End of the Summer Term 2001: Classroom observations (monitoring progress).
• Autumn Term 2001: Review meetings between job holders and team leaders (reviewing performance).

DIRECTED TIME
Arrangements for performance review will take place in teachers’ directed time of 1265 hours per year. The Headteacher will advise the Governing Body as to the time costs of performance management and their impact on other activities within directed time. The Governing Body will seek the advice of the Headteacher on whether it is necessary to remove areas of activity, which are displaced by the introduction of performance review.

In respect of directed time, the Governing Body recognises that the Headteacher's consultation with teaching staff will have covered the need:

• for budgets to be allocated to team leaders and job holders in their conduct of performance reviews;
• for time limits on the number of words for review statements, for recorded objectives, and for written descriptions of activities within classroom observations;
• to avoid increases in class or teaching group sizes as a result of applying performance management procedures;
• to ensure that teaching support time is not reduced; and
• to provide sufficient cover for classroom observation.
THE ANNUAL REVIEW CYCLE

Stage 1: Planning
Each teacher, as the job holder, will discuss and agree no more than three objectives with the team leader who will record these on a planning record. The objective for each job holder will cover pupil progress as well as ways of developing and helping improve the job holder's professional practice and subject knowledge.

To ensure that agreed objectives can support teachers, the following criteria will be applied to the setting of the objectives. These criteria include those that will apply to classroom observation for the purposes of performance management. The criteria would also help teachers in their involvement in the development and implementation of school policies.

The criteria used to inform the objectives will be:
• lesson planning and preparation;
• understanding of subject areas; including communication and motivational skills;
• teaching methods;
• the assessment and evaluation of pupils' work;
• the management of pupil behaviour;
• the teacher’s objectives for pupils' learning;
• classroom observation; and
• where applicable, the use of homework.

The team leader will record the objectives which will apply for the review cycle. These will be jointly agreed if possible. If there are differences of opinion about the objectives, the teacher may add comments to the written record of objectives.

Stage 2: Monitoring Progress
The team leader will undertake classroom observation sufficient to provide informed feedback. The requirements for classroom observation should be limited to no more than one classroom observation per teacher within the review cycle, subject to the following paragraph. Agreement should be sought between the job holder and team leader on the focus for the classroom observation.

Classroom observation should not exceed 60 minutes per job holder subject to an entitlement on the part of the job holder to request a further observation for 60 minutes.

The Governing Body agrees that the school's Standards Fund allocation for performance management will be used to fund the provision of cover for the classes of team leaders when they are undertaking performance review.

The job holder will be consulted by the team leader with a view to reaching agreement on when classroom observations will take place. Each team leader will consult with and secure the
agreement of the job holder before seeking information from other colleagues about the work of
the job holder.

The lesson(s) selected for observation will reflect the teacher's work. The Governing Body has
decided to adopt the classroom observation checklist set out in the appendix to this policy.

**Stage 3: Reviewing Performance**

There will be an annual review meeting between the job holder and the team leader. At the
review meeting, recorded objectives will be used as a focus to discuss achievements. It will be
used further to identify professional development needs and the consequent resources and the
support to be provided.

A written review statement will be prepared by the team leader at the review meeting recording
the main points made and the conclusions reached, including:

i. identified professional development needs; and
ii. recommended strategies for meeting those identified needs.

If the statement is not completed at the meeting, it must be prepared by the team leader within
10 subsequent working days of the meeting. The job holder will be provided with a copy of the
review statement and may, within 10 working days of first having access to the copy, add to it
comments in writing.

There will be two copies only of the review statement - one held by the job holder and one held
by the Headteacher on a central file, to which the team leader responsible for the job holder's
review can request access.

All review statements will be kept by the Headteacher for at least three years. The individual
plan and review statement proforma within the DfEE's model performance management policy
provides an appropriate structure.

**THE LEADERSHIP GROUP**

Staff in the Leadership Group will have no more than three annual objectives, which will cover
pupil progress, their professional practice and their additional responsibilities.

For deputy Headteachers, the team leader will be the Headteacher. The Headteacher's objectives
will cover school leadership and management as well as pupil progress. Where the Headteacher
and Governing Body members responsible for the Headteacher's performance review are unable
to agree objectives, the governors appointed to review the performance of the Headteacher
should set and record objectives. The Headteacher may add comments to the written record of
objectives.
Within ten days of the review, a copy of the Headteacher's review statement will be given to the Headteacher. A copy will also be given to the Chair of Governors.

Where the LEA Chief Education Officer requests a summary of the performance assessment section of the Headteacher's review statement, it will be made available by the Chair of Governors.

THE COMPLAINTS PROCEDURE
Teachers must record on their review statements any dissatisfactions they have with their reviews and must raise such dissatisfactions with their team leaders within 10 working days. Where these cannot be resolved with their team leaders, they can raise their concerns with the Headteacher. Where the Headteacher is the team leader, the teacher can raise the issue with the Chair of Governors.

Within 10 working days of receiving the review statement, the Headteacher can record his or her dissatisfaction with aspects of his or her review on the review statement. Where these cannot be resolved with the governors responsible for the Headteacher's review, he or she can raise the concerns with the Chair of Governors. Where the Chair of Governors has been involved in the review process, the Governing Body should appoint one or more governors, who have not participated in the review of the Headteacher, to act as review officer. No governor who is a teacher or staff member can be involved in the performance review of the Headteacher.

The Review Officer will investigate complaints and take account of comments made by the job holder. The Review Officer should conduct the review of the complaint within 10 working days of referral. She or he may decide that the review should remain unchanged or may add observations of his or her own. The Review Officer may decide, with the agreement of the person responsible for carrying out the initial review, that the review statement is void and order a new review or part of the review to be repeated.

Where the new review is ordered for the Headteacher, governors not previously involved in the review of the Headteacher will be appointed to carry out the new review.

For teachers, the Headteacher will appoint a new team leader. Any new review, or part review, should be conducted within a further 15 days. The complaints procedure does not remove the right of teachers to recourse to the grievance procedure at any stage.
PERFORMANCE AND CAPABILITY PROCEDURES

Capability Procedures
The performance management policy does not form part of any formal disciplinary or capability procedures. The Governing Body agrees that the performance management process and formal disciplinary or capability procedures will be kept separate. The Governing Body recognises the capability procedures are already the subject of a separate national agreement. Where a decision is taken to enter into a formal capability procedure, that procedure supersedes performance arrangements.

Relevant information from Review Statements
The Governing Body adopts the requirement in the regulations that: "relevant information from review statements may be taken into account by those who have access to them in making decisions and in advising those responsible for taking decisions or making recommendations about performance, pay, promotion, dismissal or disciplinary matters".

Up To The Threshold
Teachers can expect an annual increment if they are performing satisfactorily. Consideration of withholding annual increments will occur only in circumstances where a teacher is subject to the agreed formal capability procedures.

Induction
The final review meeting between the inductee and his or her mentor should be used to discuss the implications of the inductee's career entry profile. With the agreement of the inductee at the same meeting. The meeting can also be used to agree the teacher's objectives and professional development opportunities for the first stage of the teacher's performance management cycle. This review meeting will be separate from the final formal assessment meeting which leads to the Headteacher's recommendation on whether or not the induction period has been completed successfully.

EVALUATION OF THE POLICY
The Headteacher will report annually to the Governing Body on performance management procedures in the school including their effectiveness and on the training and development needs of teachers. Individual teachers will not be mentioned or identified within the report.

After consultation with staff, the Headteacher may advise the Governing Body to update or amend the school's performance management policy.

The Governing Body believes that the application of a school performance management policy will necessarily be subject to evaluation by teaching staff, the Headteacher and the Governing Body. It recognises that there will be many factors, including the effectiveness of the training teachers receive as team leaders which will determine the success of the policy.
The Governing Body recognises that the school performance management policy must not impede the necessary trust between teachers, headteachers and governing bodies and that any evaluation must take into account the need to enhance the trust and professional confidence of teachers and the Headteacher.

CONFIDENTIALITY
The performance management policy recognises that individual reviews shall remain confidential. Copies of each job holder's review, statement and individual plan will be held by the Headteacher and each job holder only.

The principles and provisions of the Data Protection Act 1998 will be followed at all times.

ACCESS TO REVIEW STATEMENTS - A SUMMARY
The Governing Body adopts the requirements in the regulations set out below. There will only be two copies of the review statement - one held by the teacher and one held by the Headteacher on a central file, to which the team leader can request access. A copy of the Headteacher's review statement will go to the Chair of Governors. Information about performance review should be made available, as set out below.

• The review statements will be given by the Headteacher to the Post holder responsible for training and professional development within the school.

• The Headteacher will keep review statements for at least three years.

APPENDIX

CLASSROOM OBSERVATION CHECKLIST
The Governing Body notes the classroom observation checklist agreed between the Headteacher and teaching staff and notes that the team leader will use the list to identify the job holder's professional development needs. It agrees that the checklist set out below will be effective in recording each teacher's professional development needs.

Lesson Planning and Preparation
• The lesson was part of a planned programme.
• There was a good structure to the lesson.
• The aims of the lesson were clear. Resources for the lesson were prepared and available.
• Individual pupils' learning needs were taken into account.

Understanding of the Subject Area
• A good understanding of the subject content covered in the lesson was displayed.
Teaching Methods
• Instructions and explanations were clear and specific.
• Pupils were involved, were listened to, and were responded to appropriately.
• The ideas and experiences of pupils were drawn upon. The teaching methods adopted were suitable for all pupils in the class.

The Assessment and Evaluation of Pupils within the Class
• Pupils were involved and their understanding evaluated through the use of appropriate questioning. Mistakes and misconceptions were recognised by the teacher and were responded to within the lesson.

The Management of Pupil Behaviour
• Action was taken promptly to address inappropriate pupil behaviour.
The teacher was confident in the strategy that he or she adopted for encouraging and rewarding good behaviour.
• Where behaviour was inappropriate, the teacher knew the next steps to take.

The Teacher’s Objectives for Pupils’ Learning
• Pupils understood what work was expected of them during the lesson.
• Pupil outcomes of the lesson were consistent with the objectives set at the beginning.
• The pace was appropriate.

Classroom Observation
• The classroom was well organised.
• Appropriate materials were available to pupils when needed.
• Where teacher assistants were involved, appropriate use was made of their support.

Homework
• Homework was set in accordance with the school's homework policy.
• Appropriate feedback on homework was given.