

Academies Trust

8th Floor, Angel Square,
Manchester, M60 0AG



Performance Management Policy (Teachers)

Applicable from September 2021

Approved by Trust Board on 14 July 2021

Contents

1.0 Who does this policy apply to?	3
2.0 Purpose	3
3.0 The Performance Management Cycle	4
4.0 Appointment of Reviewers	5
4.1 For the Headteacher/Principal	5
4.2 For Teachers	5
4.3 Training of reviewers	6
5.0 Preparing for the meeting	6
6.0 Planning & agreeing performance criteria	7
6.1 Teachers' Standards	8
6.2 Objectives	8
6.3 Ways of Being Co-op	9
7.0 Agreeing support needed & development activities	9
8.0 Reviewing performance during the year	10
8.1 Classroom observations	10
8.2 Where there are concerns about the level of performance	11
9.0 At the end of the year	11
10.0 Pay progression	12
11.0 Appeals	13
12.0 Continuing professional development	13
13.0 Use and retention of the Planning & Review Form	14
14.0 Monitoring, Evaluation and Review	14
Annex 1a - Planning & Review Form	15
Annex 1b - Training and Development Annex	23
Annex 2 - Effective preparation and support of reviewers	24
Annex 3 - Guide to objective setting	25
Annex 4 - Co-operative values & Ways of Being Co-op	26
Annex 5 - Classroom Observation Protocol	27
Annex 6 - Manager guidance on managing under-performance	28
Annex 7 - Performance Management Appeal Process	30

1.0 Who does this policy apply to?

1.1 The policy applies to Headteachers / Principals (including Executive Headteacher and Heads of School) and to all qualified and unqualified teachers employed in Co-op Academies Trust ("the Trust") academies, except teachers on contracts of less than one term, those undergoing induction, those subject to ECT procedures, and those who are the subject of capability procedures.

1.2 Colleagues employed by an agency are not covered by this policy, however, if they are working with the Trust for an extended period it is expected that their performance will be managed in line with the principles set out in this policy. However, this would not directly impact on pay at a later date, as this is a matter between the individual and the agency who employs them.

1.3 This version of the policy should be used from September 2021 onwards; for the 2021/22 planning cycle (pay recommendations in Autumn 2022).

1.4 This Procedure will be applied with due consideration to the Trust's Equality, Diversity & Inclusion Policy and our co-operative values.

2.0 Purpose

2.1 The Trust recognises the important role that each individual colleague plays in the provision of excellent quality education for our pupils & students. It is committed to making available to all colleagues a high quality, fair, clear and consistent performance management process, which provides an opportunity for:

- review and reflection
- the celebration of success
- access to professional development and training opportunities
- support to assist them in working to a high standard and achieving their full potential.

2.2 This policy sets out the framework for managing the overall performance of teachers and Headteachers / Principals. Each Academy is expected to exercise professional judgement within the framework provided by this policy.

This policy will support the Trust's plan for improving educational provision and performance, within the context of the Trust's Strategic Plan, the Academy's Improvement Plan, the Teachers' Standards, and the Ways of Being Co-op, which will inform the objectives set through the performance management process.

2.3 The planning & review process will be a supportive and developmental process designed to foster professional dialogue between colleagues and ensure that all teachers have the skills and support they need to carry out their role effectively. It will help to provide teachers with real clarity around what is expected of them in their role, and encourage them to be proactive in continuing to improve their professional practice.

2.4 Whilst this policy sets out the formal performance management process, in the same way that we aim for all our pupils/students to strive to improve their performance and to maximise their potential, so we expect all colleagues to take ownership of their personal and professional development, and will support and encourage them in doing so throughout the year.

2.5 The assessment of performance throughout the cycle against the performance criteria agreed will be the basis on which the recommendation is made by the reviewer with regard to performance related pay.

3.0 The Performance Management Cycle

3.1 Performance management should be a regular cycle of 'plan', 'do' and 'review', with formal meetings documented on the Planning & Review Form (Annex 1).

3.2 Performance planning for the forthcoming academic year, and reviews of performance during the last academic year, should be completed for all teachers by 31 October.

For the Headteachers / Principals, a preliminary review of the previous year and performance planning for the forthcoming year should be completed by 30 September. The review of the previous year should be completed as soon as possible once validated data has been received.

3.3 There is an expectation that a mid-year meeting to review progress will take place during the year, at a mutually agreeable date & time – usually towards the middle of the Spring term. This will help to ensure that colleagues remain on track to meet their objectives and that appropriate support and development is being provided. It is expected that a brief note of the meeting will be created on the Planning & Review form. This will not take part in PPA time. The Headteacher / Principal may 'check in' on progress at the mid year review point, where it is known that the colleague intends to request to move to UPS at the end of the year. Unless they are the Reviewer they will not, however, attend the meeting.

Additional one-to-one discussions may take place at any time during the cycle, at the request of either party if they think that this would be helpful. Regular open dialogue provides an opportunity to 'check in' on a colleague's wellbeing, provide timely recognition of success, and enables early intervention if the colleague is experiencing any difficulties. The Trust expects regular one-to-ones to take place where colleagues are working in a leadership role. Records of these meetings should be shared with the reviewee if there are concerns around performance, documenting the concerns and the support provided.

3.4 Teachers who are employed on a fixed term contract of more than one term, will have their performance managed in accordance with the principles of this policy. The objectives agreed and review dates will be determined by the duration of their contract.

3.5 Where a teacher joins the Trust part-way through a year, the objectives agreed should be appropriate to the amount of time in the review year remaining.

3.6 Similarly, when a teacher transfers to a new post part-way through the year, a decision should be taken as to whether it is appropriate to change the reviewer and/or update the objectives. In this case, the end of year review will need to take account of both parts of the cycle and a meeting should take place to discuss the changes, with a written addition being made to the Planning & Review Report.

3.7 Other circumstances where it may be appropriate to agree and document changes might be due to a disability requiring a reasonable adjustment, or a long period of absence due to maternity or long term sickness absence.

3.8 Where a colleague is going on maternity leave, consideration should be given to completing a review of objectives prior to the maternity leave commencing so that the pay recommendation can be made at the appropriate time.

3.9 Where a teacher will be leaving the academy, their performance should be reviewed before their leaving date as this documentation may be requested by the future employer.

4.0 Appointment of Reviewers

4.1 For the Headteacher/Principal

- The Trust's CEO is accountable for performance management of Headteachers / Principals. The designated Chief Education Officer and the Chair of the Governing Council will be jointly responsible for reviewing the performance.

4.2 For Teachers

- Each colleague will have a designated reviewer, who must hold Qualified Teacher status and will usually be their line manager. The Headteacher/Principal will be responsible for the allocation of reviewers, and may delegate the role of reviewer to the relevant line manager, taking into account the number of direct reports that a manager has so that the associated workload is reasonable.
- Where a teacher has more than one line manager the Headteacher/Principal will determine which line manager will be best placed to manage and review the teacher's performance, and advise the reviewee of this. In this instance, the 'lead' line manager should seek input from the other line managers when setting objectives, development planning, and conducting the end of year review.
- If circumstances arise in which, for professional reasons, a teacher wishes to request a change of reviewer, they may submit a written request to the Headteacher/Principal for that reviewer to be replaced, stating the reasons. Where the request is not accepted, the reasons for the refusal should be explained in writing and appended to the Planning & Review Form report along with a copy of the original request.

- Where it becomes apparent that the reviewer will be absent for the majority of the cycle or is unsuitable for professional reasons the Headteacher/Principal may perform the duties themselves 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. A performance management cycle will not begin again in the event of the reviewer being changed.

4.3 Training of reviewers

It is the responsibility of the Headteacher/Principal to ensure that all reviewers are appropriately trained, and are clearly briefed on their role. Hub HR Managers are able to provide support with this if requested, and are able to deliver relevant training. The effective preparation and support of reviewers is central to realising the benefits of the planning & review process, and reviewers are responsible for making sure that the key elements of the process are undertaken fairly and consistently. Further guidance is given at Annex 2.

5.0 Preparing for the meeting

5.1 The Planning & Review meeting which ends and begins the annual performance management cycle is the most critical part of the process. This meeting will include:

- a review of the previous year, including a recommendation with regard to pay where appropriate, and reflection on how the colleague has demonstrated the Ways of Being Co-op
- objective setting, and making clear the factors against which performance will be reviewed and assessed at the end of the next 12-month period, including the Teachers' Standards and UPS criteria (if applicable)
- a discussion of development which has taken place, and any support / development needed to facilitate achievement of objectives and continuing professional development along a colleague's career path in the next 12 months.

5.2 The Planning & Review meeting should be scheduled as far in advance as possible, with a minimum of five working days' notice given, and sufficient uninterrupted time put aside to enable a meaningful discussion. Usually all matters will be dealt with in one meeting, which will take place in directed time; however, the review of the last year, and objective setting / development planning for the forthcoming year may be split into two meetings with the agreement of those involved. The meeting(s) should not take place in PPA time.

5.3 The meeting should be a professional two-way dialogue between the reviewer and the reviewee, and both parties are expected to prepare appropriately ahead of the discussion. The teacher is expected to play an active part in the meeting, clearly and confidently putting forward their views about their performance and future development.

5.4 With this in mind, both the reviewer and reviewee should undertake appropriate preparation and reflection. ***Documentation to be referred to should be shared in advance of the meeting to enable an informed discussion to take place.*** This might include:

- reviewing the previous Planning & Review Form / objectives set (including any revisions made during the year)
- reviewing the training, professional development, and support needs documented at the start of the cycle, and considering the training, development and support provided during the cycle against this
- sharing information on performance during the year, such as written feedback on any classroom observation, and any other information relating to agreed objectives.
- having relevant documents such as the relevant job description, Teachers' Standards, Ways of Being Co-op, Academy Improvement Plan and a copy of this policy to hand
- familiarising themselves with the Trust Pay Policy (Teachers) and potential eligibility / criteria for pay progression and/or performance related pay.

And:

Reviewer (manager, must hold QTS)	Reviewee
<ul style="list-style-type: none"> - ensuring the reviewee has all the documentation to be used at the meeting. - consider the priorities for the next cycle / possible objectives to be discussed - if not the direct/only line manager, seek input from other managers involved on performance in previous cycle and priorities for next cycle 	<ul style="list-style-type: none"> - reflect on achievements in last cycle - identify any issues which impacted positively or adversely on their performance - consider the impact of any training & development undertaken on their own performance (or the performance of those they have supported) - considering professional / career aspirations - identifying any support or development required to further develop their practice

5.5 If an individual arrives at the meeting unprepared, then the reviewer may decide that the meeting needs to be rescheduled.

5.6 Evidence gathering should be proportionate, and should make use of existing data sources wherever possible. The evidence required at the review meeting should have been recorded at the planning meeting at the start of the cycle. The reviewee may include additional evidence if they choose to do so.

6.0 Planning & agreeing performance criteria

Each Academy is responsible for setting the performance criteria for its teachers within the broad framework set out below:

- Teachers' Standards
- Objectives
- Professional Development
- Ways of Being Co-op

6.1 Teachers' Standards

6.1.1 It is the responsibility of each Academy to ensure that reviewees understand the expectations in relation to the Teachers' Standards within the individual context / approach of their establishment and in relation to their Academy's Improvement Plan.

Assessment of the Teachers' Standards will start from the premise that all teachers are meeting the Teachers Standards' and they will be assessed as meeting the standards unless clear, compelling written evidence to the contrary is provided.

6.1.2 There is an expectation that teachers on the upper pay scale will continue to demonstrate the same level of performance required for progression to the upper pay scale, as documented in the STPCD and in Annex 3 of the Trust's Pay Policy for teachers.

6.1.3 Performance management of Headteachers/Principals should include reference to the Headteachers' Standards published in October 2020, in addition to the Teachers' standards.

6.2 Objectives

6.2.1 The objectives agreed should be within the colleague's control, closely tied to genuinely actionable behaviours. They should be appropriately challenging, aspirational yet achievable, with clear success criteria and commensurate with the colleague's role and level of seniority. They should be in line with an Academy's Improvement Plan and contribute to improving the progress of pupils/students and, as far as is reasonably possible, be fair and equitable in relation to teachers with similar roles/responsibilities and experience.

6.2.2 They should also take account of the teacher's professional aspirations and any relevant pay progression criteria, such as those required for progression to the upper pay scale (see 6.2.8).

6.2.3 All teachers, excluding the Headteacher/Principal, will generally have no more than three objectives. These may include, but are not limited to:

- Quality of teaching & learning (e.g. improving quality of planning/preparation/assessment; to demonstrate consistently "good" teaching & learning)
- Overall pupil/student progress (e.g. attainment, attendance, behaviour; either individual objectives, or contribution to whole academy or department targets). In line with DfE guidance, objectives should not be based on teacher generated data and predictions, or solely on the assessment data for a single group of pupils/students.
- Contribution to wider academy life / implementing policy/practice (e.g. research and share ideas on a wider ranges of approaches to assess reading; successfully lead literacy group; support monitoring of SEND children)
- Leadership/management if applicable (e.g. if hold TLR should have objective linked to that area of work; or might be objective linked to working with other classroom colleagues)

6.2.4 Objectives should relate to activities that are part of a teacher's contractual duties under STPCD; they may include additional voluntary activities only if the teacher suggests these, but objectives of this nature should not be imposed.

6.2.5 It is for each Academy to decide the detail of these objectives and the extent to which they want to include an individual's contribution towards generic objectives for all, or groups of,

colleagues (e.g. all key stage one teachers or all English teachers might contribute towards a shared objective). These should then be agreed with individual colleagues as part of the professional dialogue.

6.2.6 The reviewer and reviewee will seek to agree the objectives but where a joint determination cannot be made the reviewer will make the determination. In this circumstance the reviewee should document their concerns/objections on the Planning & Review form.

6.2.7 Where the role of the reviewer has been delegated, the Headteacher/Principal will be responsible for moderating Planning & Review forms to check that the plans recorded for a teacher are consistent with those who have similar experience and similar levels of responsibility, and that they comply with the Trust's Performance Management Policy.

6.2.8 Where a colleague is on the upper pay scale (UPS), or is intending to request to move to UPS at the end of the year (i.e. in 12 months time), objectives should be agreed at a level that (once successfully completed) will enable the colleague to demonstrate the UPS criteria set out in Annex 3 of the Teachers' Pay Policy. It is strongly recommended that the Headteacher/Principal is involved in discussions around the setting of objectives for MPS colleagues wishing to move up.

6.2.9 Further guidance on objective setting is included in Annex 3.

6.3 Ways of Being Co-op

There is an expectation that colleagues will work in line with co-operative values at all times. The behaviours which underpin these values are set out in the Ways of Being Co-op; these are an integral part of the Trust's culture and 'how we do things round here' (see Annex 4).

If applicable, a specific objective or development activity related to the Ways of Being Co-op could be included in the performance plan for the year ahead. Alternatively, they may be included within the success criteria for one or more objectives: remember that how a goal is achieved is as equally important as what is achieved.

7.0 Agreeing support needed & development activities

7.1 A key part of the Planning & Review process should also include discussing personal development and career aspirations, and agreeing and documenting any support, training and/or development that the reviewee

- (a) will need in order to meet the performance criteria and achieve the agreed objectives;
- (b) may require to support their development in terms of the Ways of Being Co-op, and
- (c) may wish to participate in as part of their more general continuing professional / career development (including leadership development where relevant).

7.2 Plans for professional development should be realistic, commensurate with the experience of the reviewee and the next steps of their teaching career, and in line with the Academy's Improvement Plan.

7.3 Training & development may include attending a particular training course, but not necessarily. It may also involve coaching or mentoring, team teaching, observing demonstration lessons, or working with other teachers with pupils/students in the classroom. The Reviewer will undertake to provide these opportunities and arrange for cover for the reviewee.

7.4 Whilst the Academy may not be able to support all requests for professional development (see section 12.0 for further details), there is an expectation that the reviewee will undertake the development actions that are approved, unless there are mitigating factors. The non-provision of related professional development will not be detrimental to meeting agreed objectives or pay progression.

7.5 To maintain confidentiality, all training & development needs should be recorded in a separate annex.

8.0 Reviewing performance during the year

Evaluation of performance should be holistic, and evidence can come from a number of avenues during the course of the year which will have been agreed by the reviewee and the reviewer at the Planning & Review meeting to review progress over time and may include, but is not limited to:

- Classroom observations
- Task observations relevant to the objective (e.g. leading a meeting or inset day)
- Work sampling (review of lesson / subject planning records / marking & feedback)
- Outcomes (pupil / student progress over time, attainment, behaviour, attendance, engagement)

Objectives and performance management discussions should not be based on teacher generated data and predictions, or solely on the assessment data for a single group of pupils/students. The assessment of any objectives regarding teaching and learning should not be solely based on lesson observations.

8.1 Classroom observations

8.1.1 The Trust is committed to ensuring that all observations are 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
- Respect the confidentiality of the information gained

8.1.2 Classroom and task observations will be carried out in accordance with the protocols operational in each individual Academy. A recommended protocol is included at Annex 5.

8.1.3 Observations should be carried out by a qualified teacher who has the appropriate skills to observe, evaluate and give feedback. The reviewee should be given advance notice, and verbal

feedback should be provided afterwards in a suitable private environment. Written feedback should be provided within five working days. The reviewee has the right to append written comments to the feedback document.

8.1.4 It is the responsibility of the Reviewer to decide how much observation is necessary for them to form an accurate assessment of a teacher's performance; the focus and timing of reviews to be agreed at the planning meeting. A maximum of three observations will be timetabled for all purposes at the start of the planning & review cycle. Where evidence emerges during the cycle about the reviewee's performance which gives rise to concern and support under the terms of para 8.2, or where the reviewee requests additional observations to be made in support of their ongoing development, additional observations may be arranged.

8.2 Where there are concerns about the level of performance

8.2.1 If there are concerns about a teacher's level of performance or progress at any time during the year, these should be raised with the teacher at the earliest opportunity. This will enable a discussion to take place about any additional support that may be required to get things 'back on track'. There should be no surprises when it comes to the end of year review. A record of the discussion and the support provided will be shared with the reviewee; and they will have an opportunity to comment.

8.2.2 It is expected that, in the majority of cases, concerns about under-performance will be addressed through informal discussion, additional support and usual monitoring through the Planning & Review process (see Annex 6 for guidance).

9.0 At the end of the year

9.1 At the end of the cycle, the reviewer and reviewee should review performance during the preceding 12 months (in some circumstances, it may be more or less than 12 months e.g. maternity, joiner/leaver). The Planning & Review report should be discussed between the reviewer and reviewee and they should seek to agree the content. The final report should not be produced until both parties have had input.

9.2 The dialogue should be open and two-way, focused on seeking to achieve a shared understanding of progress towards meeting the performance criteria and exploring any issues that may have impeded progress. The reviewer and reviewee should seek to agree an overall assessment of performance, and record this in the report.

9.3 As objectives set should be achievable, the expectation is that all objectives will be met unless there are strong and well evidenced mitigating reasons as to why this has not been possible. However, recognising that objectives should be stretching, if good progress towards the achievement of a particularly challenging objective has been made, even if the performance criteria have not been met in full, this may be assessed favourably.

9.4 Teachers should not be disadvantaged in the performance management process as a consequence of pupils / students not being in school due to Covid-19.

9.5 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 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 & Review form at the beginning of the second cycle.

9.6 If no agreement of the overall assessment of performance can be reached, the reviewer should record their view and the reviewee should add their comments (see also Section 11.0 on Appeals, and Annex 7 – Appeal Process Step One – Informal Resolution).

9.7 Where a teacher is not eligible for performance related pay progression this year an overall assessment of performance should still be recorded as this will provide a useful record for the future.

10.0 Pay progression

10.1 This section of the Policy is provided as a summary and should be read in conjunction with the Teachers' Pay Policy.

10.2 It is strongly recommended that teachers wishing to be considered for progression from MPS to UPS should indicate their intention at the Planning and Review meeting (see Teachers' Pay Policy for more details).

10.3 Where teachers are eligible for performance related pay progression, a recommendation will be made by the reviewer based on performance against the agreed objectives, and the relevant teacher standards used to inform them, and any other agreed performance criteria.

10.4 Recommendations will be moderated by the Headteacher/Principal to ensure fairness and consistency. The Headteacher/Principal may be supported by another designated senior leader. If the Academy-level moderation process results in a change to the recommendation, the Headteacher / Principal will discuss this with the colleague prior to the final recommendation being made to the Pay & Remuneration Committee (see Pay Policy for further details, as this is Step One of the Pay Policy Appeals Process).

10.5 Recommendations with regard to pay for Headteachers/Principals will be made by the designated Chief Education Officer & Chair of Governors, and will be moderated by the Trust's CEO.

10.6 Any recommendations for accelerated pay progression, or not to award pay progression where this would otherwise be expected, will be moderated by a panel of Headteachers/Principals, Chief People Officer (and/or nominated Hub HR Managers), Chief Education Officers and Trust CEO, with the aim of ensuring fairness and consistency across the Trust following the closure of the review window and prior to the recommendations going to the Governing Council of the individual academy.

10.7 Following Trust-wide moderation, all recommendations will be considered for approval by the Pay & Remuneration committee of the Academy's Governing Council.

11.0 Appeals

11.1 Appeals against pay recommendations / decisions, including those around progression UPS, should be dealt with under the appeals process detailed in the Teachers' Pay Policy.

11.2 Appeals that do not relate to pay decisions, but which are about the performance management process / content of the Planning Review Form, are covered in the Annex 7.

11.3 The same matter cannot be appealed twice under the two different appeals processes.

11.3 Both the reviewer and reviewee should make a genuine attempt to resolve disagreement by discussion rather than appeal. A reviewee who is dissatisfied should have the opportunity to discuss the matter with the reviewer and/or Headteacher/Principal; this stage in the process will help to ensure that decisions are transparent and fair and may also help to mitigate the need for a more formal appeal.

11.3 If it is not possible to resolve matters in this way, the reviewee has the right to raise an appeal against any entry on their Planning & Review form, the overall assessment of their performance*, access to CPD, and/or any aspect of the planning for the next cycle. Where a reviewee wishes to appeal on more than one point, this would still constitute one appeal hearing. *Where the overall assessment of their performance is related to a pay recommendation, this should be dealt with under the Pay Appeals Process.

12.0 Continuing professional development

12.1 Each Academy will put in place a Continual Professional Development (CPD) programme, which will be informed by the training and development needs identified in the reviewees' planning and review statements and any wider development needs identified within the Academy. This should link to the Trust-wide CPD programme where appropriate.

12.2 Each Governing Council will ensure in the budget planning that appropriate resources are made available in the academy budget for any training and support agreed for reviewees.

12.3 With regard to the provision of CPD in the case of competing demands on the academy 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 Academy to achieve its priorities.

13.0 Use and retention of the Planning & Review Form

13.1 The performance management process and the form generated under it, in particular, will be treated in the strictest of confidence and in line with the Trust's Data Protection Policy.

13.2 The reviewee will be provided with a copy of their Planning & Review form and is expected to take responsibility for keeping their own copy of their performance management paperwork. A copy will be stored securely by the Academy. The allocated reviewer and the reviewee's line manager(s) will have access to the reviewee's objectives and development plan to enable the review to take place and line manager(s) to discharge her/his line management responsibilities.

13.3 Planning & Review forms will be retained for a minimum period of the current review year and then for 5 years.

13.4 Where electronic systems such as SIMS or Blue Sky are used to support the performance management process, access levels should be set in line with this Policy.

14.0 Monitoring, Evaluation and Review

14.1 The Headteacher / Principal will provide their Governing Council ~~Body~~ with an annual written report on the operation of the Performance Management Policy in their Academy; and will provide the Trust with information, when requested, to enable the reporting set out below.

14.1 The Policy will be promoted and implemented throughout the Trust's Academies. Co-op Academies Trust and its Governing Councils will monitor the outcomes and impact of this Policy on a regular basis in conjunction with trade union representatives to assess its implementation and effectiveness. This will include considering the impact of the Performance Management procedure on workload.

14.2 An annual written report on the operation of the Policy (in conjunction with the Trust's Pay Policy, and including an equality impact) will be conducted and the outcomes shared with union representatives through the JCNC.

Annex 1a - Planning & Review Form

Academies Trust

Planning & Review Form

IN CONFIDENCE

Colleague name:	Reviewer name:
-----------------	----------------

Planning your performance management criteria for 2021/22

a. Teachers' Standards

It is expected that all teachers will work in line with and meet the Teachers' Standards and that performance will be reviewed at the end of the year.

b. Objectives

Use this space to document the objectives, including link to overall academy plans, performance criteria / measures and when it will be completed by.

Objective 1
Objective:
Success criteria:
Development or support needed to successfully achieve this objective:

Objective 2
Objective:
Success criteria:
Development or support needed to successfully achieve this objective:

Objective 3
Objective:
Success criteria:
Development or support needed to successfully achieve this objective:

c. Professional & career development, support, and classroom observations

Use this space to record discussion around continuing professional development & career aspirations, support to be provided and any plans for classroom observation / reviewing the quality of teaching & learning.

Ways of Being Co-op

Use this space to record discussion around the behaviours that underpin 'how we do things round here'

Succeed together

Do what matters most

Be yourself, always

Show you care

Reviewee comments

Sign here to indicate that these objectives have been agreed:

Reviewee signature: _____ Date: _____

Reviewer signature: _____ Date: _____

Mid-year interim review (2021/22)

Teachers' Standards

Are the Teachers' Standards on track to be met? YES / NO

Comment (if applicable):

Objective	Comment
1.	
2.	
3.	

Are all objectives on track to be met? YES / NO

Use this space to record professional dialogue around professional & career development, support, and classroom observations

--

--

Use this space to make a record of professional dialogue regarding the Ways of Being Co-op

Additional comments

Reviewee comments

Sign here to indicate that notes of meeting are agreed:

Reviewee signature: _____ Date: _____

Reviewer signature: _____ Date: _____

End of year review (2021/22)

Teachers' Standards

Have the Teachers' Standards been met? YES / NO

Comment (if applicable):

Objective	Comment	Outcome
1.		Met / Partially Met / Not Met
2.		Met / Partially Met / Not Met
3.		Met / Partially Met / Not Met

--

Overall assessment of performance
<p>Taking everything above into consideration, is the colleague performing at the level expected at their current pay scale?</p> <p>YES / NO</p> <p>Comments:</p>

Performance related pay progression <i>(to be completed by the reviewer)</i>
<p>This section does <u>not</u> need to be completed for unqualified teachers, or for any colleagues currently on the main pay scale.</p> <p>It should <u>only</u> be completed for teachers already on the upper pay scale, lead practitioners, and colleagues on the leadership pay scale.</p> <p>Is the reviewee eligible for pay progression this year? YES / NO (top of scale) / NO (UPS, see below)</p> <p>If yes, is pay progression recommended? YES / NO</p> <p>If eligible but not recommended, or if consideration for accelerated (two-step) progression is recommended, please document reasons:</p> <p>If the reviewee is <u>not</u> eligible for pay progression this year because they are at the end of their first year on UPS1/2 does their performance indicate that they are "on track" for future progression?</p> <p>YES / NO</p> <p>Comments:</p>

Sign here to indicate that notes of meeting are agreed:

Reviewee signature: _____ Date: _____

Reviewer signature: _____ Date: _____

Annex 1b - Training and Development Annex

IN CONFIDENCE

Using this form is optional. Where training & development is identified and needs to be communicated to others so that this can be organised, a copy of this annex could be completed and sent to the CPD Co-ordinator.

Reviewee's name:

Reviewer's name:

Date of planning meeting:

Training and Development needs

Action to be taken

Annex 2 - Effective preparation and support of reviewers

Key points

The effective preparation and support of reviewers is central to realising the benefits of performance management, as they are responsible for making sure that key elements of the process are undertaken fairly and consistently. These include setting objectives, agreeing performance criteria and using them to assess progress, determining the reviewee's support, training and development needs and how these will be met, making an overall performance evaluation and, where a reviewee is eligible, making a pay recommendation.

Academies, therefore, will need to make sure that reviewers have the specific knowledge, skills and understanding they need to carry out their responsibilities effectively. They will also need to consider the overall burden on each reviewer in terms of the number of reviewees for whom they are responsible, and how many reviews an individual reviewer can undertake effectively.

Considerations

Academies will need to make sure, for example, that all those acting as reviewers:

- understand the Trust's policies and procedures in relation to performance management pay and capability
- understand how performance management fits into the wider context of teachers' professional development;
- have copies of all the relevant documents;
- understand the impact and implications of equal opportunities on the performance management process;
- are confident in evaluating evidence, through all performance indicators including classroom observation;
- have access to any statistical data that both reviewer and reviewee consider important;
- are able to provide constructive feedback and engage in positive dialogue with the reviewee;
- are aware of the resources available to support teachers' development both within and beyond the academy.

There are opportunities for reviewers, during directed time, to share knowledge, learn from each other and align practice. It is recommended that arrangements are put in place to make use of the expertise of current reviewers to prepare and support those taking on this role.

If additional support is required in preparing reviewers for their role, please contact your Hub HR Manager.

Annex 3 - Guide to objective setting

This Annex should be read in conjunction with the rest of the Policy.

The setting and agreement of objectives is fundamentally important and is a key factor underpinning the effective operation of the performance management process. Whilst the planning & review process includes an assessment of overall performance of teachers and the Headteacher/Principal, the agreed objectives cannot cover the full range of a teacher's roles/responsibilities. Objectives will, therefore, focus on the priorities for an individual and teachers will have no more than three objectives.

Where a colleague is intending to request to move to UPS, or is already working at UPS, objectives should be agreed at a level that (once successfully completed) enable the colleague to demonstrate the UPS criteria set out in Annex 3 of the Teachers' Pay Policy.

Objectives should be "SMART"

Specific	It should clearly & concisely set out expectations and what needs to be achieved.
Measurable	Objectives need to be capable of measuring performance (the inputs) as well as the results (the outputs). What are the milestones you expect to see completed? What will success look like and how will it be measured / assessed? How will you know if it has or hasn't been achieved? How will you assess the contribution made towards achieving a target? How will this objective relate to demonstrating the Ways of Being Co-op? It is important to be clear about this at the outset, so that colleagues are clear what they need to be able to evidence at the end of the cycle.
Achievable	There must be a reasonable expectation that the reviewee will be able to achieve the objective, but at the same time it should stretch / challenge the reviewee to improve their performance. Where colleagues work part time, or in a cover role, this should be taken into account so that objectives are achievable within this context.
Relevant & Resourced	The objectives must be relevant to the role performed by the colleague and should also reflect their level of experience and professional aspirations. Equally, they should underpin the Trust and Academy priorities and plans, and contribute to the improvement of an Academy's educational provision and performance. They should also be set on the understanding that the required resources will be available.
Time-bound	The date by which the objective (or interim milestone) is to be completed should be documented.

Examples

I will contribute towards my class making accelerated progress in reading, writing and maths, with progress consistent across the cohort towards a target of 3.8 in all areas (with SEND children removed from the average), by doing a, b & c.

To plan and deliver two successful Enterprise days throughout the year, working with heads of department to implement cross-curricular enterprise.

I will contribute towards most students in classes a, b, & c (i) making good progress or (ii) attaining grades 4 to 9 by doing x, y & z.

Annex 4 - Co-operative values & Ways of Being Co-op

Our co-operative values

- Self-help: we help people to help themselves.
- Self-responsibility: we take responsibility and answer for our actions.
- Democracy: we give our members a say in the way we run our business.
- Equality: no matter how much money a member invests in their share account, they have one vote.
- Equity: we carry out our business in a way that is fair and unbiased.
- Solidarity: we share interests and common purposes with our members and other co-operatives.

Our ethical values

- Openness: no one's perfect and we won't hide it when we're not.
- Honesty: we are honest about what we do and the way we do it.
- Social responsibility: we encourage people to take responsibility for their own community and work together to improve it.
- Caring for others: we regularly fund charities and local community groups from the profits of our businesses.

Ways of Being Coop

The four ways are how the Co-op explains behaviour in line with the above values; they are how we can check we've got the right behaviours of our values in action.

- Do what matters most: I do what I can to ensure that the Trust delivers the strategic objectives.
- Be yourself, always – I bring my best self to work so that I can contribute to our unique Trust, and I respect my colleagues for doing the same.
- Show you care – I care about students, my colleagues, and my community and demonstrate this in everything that I do.
- Succeed together –co-operation is what makes us different. We're better and stronger when we work together.

Further details are in the [Colleague Behaviour Framework](#).

Annex 5 - Classroom Observation Protocol

Since this protocol was originally produced the range of strategies used to assess the quality of teaching and learning in our academies has become more diverse. There is an expectation that the general principles outlined in this protocol (e.g. fair & objective evaluation, confidentiality, giving feedback) will be followed more broadly.

1. The Trust 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.
2. The arrangements for classroom observation will be included in the plan in the Planning & Review form and will generally 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 cycle the observation will take place and who will conduct the observation.
3. 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 and these changes documented.
4. Information gathered during the observation will be used, as appropriate, for a variety of purposes including to inform Academy self-evaluation and Academy improvement strategies in accordance with the Academy's commitment to streamlining data collection and minimising bureaucracy and workload burdens on colleagues.
5. In keeping with the commitment to supportive and developmental classroom observation those being observed will be notified in advance (usually at least five working days).
6. Classroom observations will only be undertaken by persons with QTS. In addition, 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.
7. Oral feedback will be given as soon as possible after the observation and in all cases within two working days. It will be given during directed time in a suitable, private environment.
8. 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 & Review form these should also be covered in the written feedback and the appropriate action taken. 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.

Annex 6 - Manager guidance on managing under-performance

This guidance is intended to help support managers who are worried about a colleague's performance, and gives additional detail about how to support the colleague through usual performance management procedures. If subsequently entering the formal stages of the Capability Procedure it is important that the Manager can evidence the steps previously taken to try and support the required improvement.

Any concerns regarding a colleague's performance should be discussed with them at the earliest opportunity, and managers should try to resolve minor issues informally and in a supportive manner. It is quite possible that the colleague is aware of the shortcomings, and is also worried about the situation. Where appropriate, managers should advise and seek support from their senior manager.

Colleagues should receive constructive feedback on their performance throughout the year, as part of the Performance Management process, and written feedback should be provided as soon as practicable after agreed lesson observation has taken place. Feedback should highlight particular areas of strength as well as any areas that require support.

A conversation should take place promptly if it is noticed that a colleague is not performing certain aspects of their job satisfactorily. Delaying or doing nothing may cause the performance problem to escalate and cause delay in providing the necessary support to the individual.

The colleague should be advised to seek professional advice from their trade union representative. There is no right to be accompanied to meetings taking place as part of the usual performance management process, however, the Trust acknowledges that where there are significant concerns regarding performance this may help to expedite resolution.

It should be recognised that under-performance may be related to issues outside the colleague's direct control and may be symptomatic of underlying work problems or other personal issues. Particular care should be taken when disability or health issues are involved, or any other issues arising in relation to characteristics protected by the Equalities Act, and advice should be sought from HR / Occupational Health Service as appropriate.

Where there are concerns about any aspects of a colleague's performance, the manager should meet with them to:

- Raise the issue, giving clear feedback about the nature and seriousness of the concerns
- Give the colleague the opportunity to comment and discuss the situation and provide information on any issues impacting on it
- Agree any support (e.g. coaching, mentoring, structured observations, training, professional courses, stress risk assessment, referral to support agencies) that will be provided to help address those specific concerns
- Make clear how, and by when, progress will be reviewed (it may be appropriate to revise objectives and/or agree other appropriate & clear targets, and it will be necessary to allow sufficient time for improvement. The amount of time will need to reflect the seriousness of the concerns)
- Depending on the situation, explain the implications and process if no – or insufficient – improvement is made (i.e. this could include taking action under the Capability Procedure).

It is recommended that a note of the discussion in relation to the points above is confirmed in writing. This could be:

- by email, with receipt acknowledged by the colleague
- in the performance management documentation, a copy of which should be given to the colleague at the time
- using the following support plan template

If the discussion outlined above results in the required improvement, it would be helpful to 'draw a line under it' by confirming in writing that the issue(s) have been addressed and the performance management process will continue as normal.

Where this informal approach has been tried and has not succeeded in improving performance, or where the underperformance is more serious, please refer to the Trust's Capability Procedure, which includes a final (informal) Pre-Capability Support Plan stage.

Support Plan

Colleague name:	
Date of meeting:	

Concern / Area of performance for review	Level of improvement required*	Support to be provided (nature of support, who should make arrangements)	Timescales for improvement / review date(s)

**Actions agreed under this improvement note / support plan should be "SMART": specific, measurable, achievable, relevant, time-related, in other words it should be very clear what is required, by whom and by when, and clear how this will be evaluated and reviewed.*

This plan has been agreed to provide support in improving performance as part of normal performance management procedures.

Signed:
Colleague

Date:

Signed:
Manager

Date:

Annex 7 - Performance Management Appeal Process

Introduction

This process relates to appeals that are about the performance management process / content of the Planning Review Form, for example appeals that may arise with regard to the conduct, wording, or content of the performance management process, including but not limited to the setting of objectives and review criteria, access to CPD, and the summary / assessment of performance.

Appeals against an overall assessment of performance which is related to a pay recommendation, and appeals around pay recommendations / decisions, including those around progression UPS, should be dealt with under the appeals process detailed in the Teachers' Pay Policy.

Step One: Informal resolution

A reviewee who is dissatisfied with the performance management process should have the opportunity to discuss this with their reviewer. Every effort should be made to try and resolve matters informally through dialogue, which may help to mitigate the need for a more formal appeal.

Step Two: Formal appeal

In the context of the Planning & Review report, the appeal should be heard by an individual more senior than the reviewer. This will be the Headteacher / Principal where they are not the reviewer. If the Headteacher / Principal is the reviewer, then appeals may be heard by one of the following: Executive Headteacher, Chair of Governors (or nominated delegate), Chief Education Officer, Headteacher from another Academy.

The appeal procedure is set out below. Each step and action of this process must be taken without unreasonable delay. The timing and location of formal meetings must be reasonable. Formal meetings must allow both parties to explain their cases.

Appeal Procedure

1. The teacher has been unable to resolve their concerns about the performance management process through dialogue with their reviewer at step one.
2. The teacher should set down in writing the grounds for the appeal and send it to their Headteacher, making clear that this is an appeal under the Performance Management Appeal Process:
3. The Headteacher will confirm to the teacher, within 5 working days of receipt, who will be hearing the appeal and the date of the appeal hearing. The appeal will be heard by a more senior manager than the reviewer (see above).
4. The teacher will be given the opportunity to make representations in person, to call witnesses and to ask questions (see below). They may be accompanied by a trade union representative or work colleague; this person may help to present the case but should not answer questions on behalf of the colleague.

5. The Reviewer may be asked to attend the meeting to explain their case. A representative from HR may also be present.
6. The decision of the person hearing the appeal will be given in writing within 5 working days, and where the appeal is rejected will include a note of the evidence considered and the reasons for the decision.
7. The appeal decision is final and there is no recourse to the general grievance procedure.

Suggested procedure for conduct of formal appeal meeting

The outline below is intended as guidance only, and should be adapted depending on circumstances.

Chair carries out Introductions

- Introduce those present and explain why they are present and their role at the Appeal Hearing.
- Explain the purpose of the Appeal Hearing in line with the Trust's Performance Management Policy, to understand and consider the points of appeal and whether they should be upheld or not.

Chair outlines the order of proceedings :

- Colleague will state their case
- Management side asks questions
- Chair asks questions of the colleague
- Management will state their case
- Colleague asks questions
- Chair asks questions of the management

Colleague presents their case:

- What is the evidence that supports their case
- Introduces any witnesses
- Management representative can question
- Chair asks questions

Management representative presents management case:

- What is the evidence that supports the disputed performance management decisions
- Introduces any witnesses
- Colleague can ask questions
- Chair asks questions

End of hearing:

- Chair asks the management side to sum up
- Chair asks the colleague side to sum up
- Chair ends the hearing and advises the colleague that the decision will be communicated within 5 working days and that the decision of the appeal hearing is final.