



# **North Essex Multi-Academy Trust**

## **Performance Management Procedure**

**Trust Board Finance and  
HR Committee**

**Reviewed: Summer Term 2018**

This issue: Sept 2016  
Last issue: June 2013  
First Issue: 1989  
Reference: HR/NH

Performance Management Procedure

## AMENDMENTS – May 2018

### No material changes to procedure.

9.1	Confidentiality & Data Protection	Insertion of new clause covering data protection.
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#### Notes:

- The performance management cycle (Section 4) and references to professional standards and pay (Sections 5.4, 7.2 and Appendix A) assume the adoption of national pay, terms and conditions (Teachers' Pay & Conditions and Green Book). These references may need to be amended where such conditions do not apply.
- Paragraph 7.1 has been left deliberately flexible. Schools may wish to insert specific review arrangements e.g formal mid-year meetings where applicable.
- It is recommended that schools continue to have protocols on classroom observations (but without time limits) as part of their PM procedure.
- Academies to delete reference to external advisor where not applicable.
- The Performance Management form at Appendix A is an example and can be adapted / replaced if an alternate model is preferred.

*This is a model policy/procedure which reflects legislation, any relevant statutory and non-statutory guidance and best practice. The responsibility for setting policy and procedure resides with the Trust and as such the relevant body must be satisfied that the content of the policy/procedure suits their requirements and must consult their staff/local trade union representatives prior to its formal adoption. In this context, Education HR does not negotiate and agree its model policies with the Trade Unions/Professional Associations, although they are consulted and their feedback is considered in the development of the documents.*

Effective Date:	<b>May 2018</b>
The policy was shared with staff in:	<b>June 2018</b>
It was ratified by the Trust Board on :	<b>21 May 2018</b>

### Performance Management Procedure A Model for Schools & Academies

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## 1. INTRODUCTION

- 1.1 The day to day performance of staff is monitored, managed and supported by line managers. The Performance Management Procedure sets out the framework for a clear, fair and consistent assessment of the overall performance of staff. The process will be supportive and developmental, to ensure that all staff have the skills and support they need to carry out their role effectively and to enable them to continue to improve their professional practice within the context of the school's improvement plan and the standards expected of staff by relevant national and local standards and job and person specifications. Performance Management will also be the key process in determining annual performance pay progression.

## 2. SCOPE

- 2.1 This Procedure is applicable to all staff (including the headteacher). In the case of:
- staff with less than one year's service/on fixed term contracts - the cycle will be adjusted according to the start/duration of the contract;
  - those undergoing a probationary or statutory induction period – the Performance Management Procedure will not normally apply until this period has been successfully completed.

## 3. ROLES AND RESPONSIBILITIES

### 3.1 Performance Management Reviewers

- The Trust Board will appoint members to manage the headteacher's performance management. This Headteacher's Performance Management Panel may be advised by an external advisor who has been appointed by the Governing Board for this purpose.
- The headteacher will appoint performance management reviewers for other staff.

The role of the performance management reviewer is to operate the Performance Management Procedure in its entirety. Where the Headteacher delegates performance management reviews to other staff, the reviewer will be responsible for making recommendations on pay progression for the Headteacher to consider, on the Performance Management Statement in accordance with the Pay Policy.

### 3.2 It is the responsibility of the Trust Board to:

- Define, communicate and monitor procedures and to ensure that they are applied in a fair and consistent manner;
- appoint an external advisor to support them in undertaking the headteacher's appraisal if necessary.
- ensure that systems are in place for the proper induction of new and promoted staff, and for day to day management, support and development of staff.

### 3.3 It is the responsibility of the headteacher and other managers to:

- manage performance effectively ensuring that staff are aware of the standards expected of them and dealing with any minor deficiencies at the

earliest stage through normal day to day supervision and probation and induction procedures.

- 3.4 It is the responsibility of all staff to:
- be aware of and comply with the specific standards of performance related to their area of work and workplace;
  - comply fully with this procedure and to co-operate with the processes contained therein.

The Performance Management process will be operated in a way which minimises the additional workload on all parties.

#### 4. THE PERFORMANCE MANAGEMENT CYCLE

##### 4.1 Teachers

The performance management cycle will run from September – August. Final reviews will be completed in time to allow for any pay decisions to be made by 31 October (31 December for headteachers).

##### 4.2 Support Staff

The performance management cycle will run from September - August. Final reviews will be completed in time to allow for any pay decisions to be made by 31 October.

#### 5. OBJECTIVE SETTING

- 5.1 Objectives will be set before, or as soon as possible after, the start of each appraisal cycle.
- 5.2 The objectives set for each reviewee will be SMART (specific, measurable, achievable, realistic and time-bound) and the number of objectives will be reasonable having regard to the nature of the role.
- 5.3 The reviewer and reviewee should each consider appropriate objectives and should seek to agree them through discussion. In the absence of agreement, the reviewer will determine the objectives. The objectives, and any training and support identified (see 6.3 below) will be set out in writing. The forms at Appendix A (Teachers) and Appendix B (Associate Staff) may be used for this purpose as appropriate.
- 5.4 The Trust Board may consult with the external advisor when setting objectives for the headteacher.
- 5.5 The objectives, if achieved, will contribute to the school's plans for improving educational provision and performance, improving the education of pupils and improving and developing the performance of staff. To ensure this, objectives will be quality assured against the improvement plan and moderated across the school to ensure consistency and fairness.
- 5.6 Objectives may be revised in-year where circumstances change.

## 6. MONITORING AND SUPPORTING PERFORMANCE

### 6.1 Observation

The Trust believes that observation is important both as a way of assessing strengths and areas for development and for gaining important information which can inform school improvement more generally.

All staff should expect to have their performance and work observed and assessed by their line manager, reviewer and/or senior leaders. This will include where relevant, formal and 'drop-in' classroom observations for the purposes of evaluating the standards of teaching and learning and to check that high standards of professional performance are established and maintained.

The amount and type of such observations will be proportionate to the performance of the reviewee and the needs of the school.

All observation will be carried out in a supportive fashion and, in the case of teachers, by someone with QTS.

### 6.2 Feedback

Reviewees will receive constructive feedback on their performance throughout the year and as soon as practicable after observation has taken place or other evidence has come to light.

### 6.3 Training and Support

The Trust expects all staff to take responsibility for improving their own performance through appropriate continuing professional development. Professional development will be linked to school improvement priorities and individual job roles, priorities and ambitions. Specific support, guidance and development needs will be identified through the performance management process.

## 7. REVIEWING PERFORMANCE

7.1 All staff will be assessed on their overall performance taking into account: any professional standards applicable to that role; performance against their performance management objectives; the requirements of their job roles and the degree to which they have taken responsibility for their own CPD.

7.2 Performance and development priorities will be considered and addressed on a continuous basis throughout the year and there will be informal meetings as necessary to consider progress against objectives. There may be formal review meetings during the year. Performance Management meetings will take place during working/directed time, excluding PPA time unless otherwise agreed.

### 7.3 End of year review

At the end of the cycle, each reviewee's performance will be formally assessed. In the case of the headteacher, the headteacher's performance management panel may consult the external advisor.

The reviewer and reviewee will meet to discuss progress against objectives and overall performance.

The reviewee will receive, and have an opportunity to comment on, a written report (the forms at Appendix A (Teachers) and Appendix B (Associate Staff) may be used for this purpose) which will include:

- An assessment of the reviewee's performance against the objectives
- An assessment of overall performance with particular reference to performance against the job role and any standards relevant to the role;
- An assessment of how the employee and school have identified and met their training, development and support needs and the impact of learning on their performance;
- A recommendation on pay (to the headteacher where applicable).

#### 7.4 Absence

Where an employee has been absent during the performance management cycle, performance will be assessed on the basis of any and all evidence available for the periods of attendance and where necessary on prior performance.

### 8. UNSATISFACTORY PERFORMANCE

8.1 If at any point in the cycle, evidence emerges that an employee's performance has fallen below the minimum standards expected of them, the reviewer or other appropriate manager, will:

- explain the nature and seriousness of the concerns;
- detail any previous discussions/support;
- give the employee the opportunity to comment and discuss concerns.

This may also apply where employees consistently fail to develop their skills and knowledge or to sustain the expected level of performance.

Any concerns and subsequent discussion will be confirmed in writing to the employee.

The manager will normally (see 8.2 below) set a monitoring period. This will involve:

- the setting of targets for future performance (in addition to existing performance management targets) ;
- agreeing any further support with the employee;
- making it clear how, and by whom, progress will be monitored and when it will be reviewed;
- explaining the consequences and process if no, or insufficient, improvement is made.

The period of monitoring will normally be between 4 and 8 working weeks and in any case shall only be as long as is necessary to allow reasonable time for improvement and this will depend on the seriousness of the issues and individual circumstances. Exceptionally, an extension of not normally more than 4 weeks may be granted, where there has been significant improvement or there has been significant absence during the monitoring period.

Regular contact will be maintained throughout the monitoring period to review and support progress.

- 8.2 Where performance concerns are particularly serious, and/or where there has been insufficient improvement following any monitoring period, the performance management procedure will be suspended and the formal capability procedure will be invoked.

## 9. CONFIDENTIALITY

- 9.1 A written record of all meetings conducted under this procedure will be made, either by the person holding the meeting or by an alternative person arranged by the school to take notes. The school processes any personal data collected during the performance management procedure in accordance with its data protection policy. Any data collected is held securely and accessed by, and disclosed to, individuals only for the purposes of completing the performance management procedure or as set out in 9.2 below. On the conclusion of the procedure, data collected will be held in accordance with the school's retention schedule. Inappropriate access or disclosure of employee data constitutes a data breach and should be reported in accordance with the school's data protection policy immediately. It may also constitute a disciplinary offence, which will be dealt with under the school's disciplinary procedure.
- 9.2 The performance management process and related paperwork will be treated with confidentiality. However, performance management paperwork may be shared beyond the reviewer and reviewee in the following circumstances:
- with senior leaders for the purposes of quality assurance;
  - with the headteacher for the purpose of assessing eligibility to progress to the Upper Pay Range and meeting HLTA and other relevant standards;
  - where poor performance is identified;
  - with those responsible for making pay decisions.

## Appendix A

### (Name of School) Performance Management Planning for 20\_\_/\_\_\_\_ and Review Statement 20\_\_/\_\_\_\_ (including a separate training and development annex)

Reviewee's name ..... Reviewer .....

Assessment of performance for the performance management cycle just ended and recommendation for pay progression (for completion in Autumn):

*This box is used to:*

- a) *assess performance in relation to the previous cycle's targets – it would be very helpful for the whole process if objectives were repeated here;*
- b) *provide/explain the evidence to support these judgements;*
- c) *comment on the wider contribution of the teacher to the school – e.g. classroom practice other than the specific focus in the planning, tutor role, membership of a working group. This point in particular should be related to the professional competencies expected of a teacher at this point in their career.*

*The line manager must also make a recommendation (either positive or negative) about whether they believe the reviewee should be considered for movement to the next pay grade/level.*

*Has the person made a substantial and sustained contribution to the success of the school and grown professionally?*

Yes/No

*Recommended for pay progression if relevant?*

Yes/No

Objectives for next cycle including any relevant whole school/team/departmental objectives and related timescales:

*There may well be a school-wide focus for one of these targets, which will be communicated to staff early in the Autumn Term at the latest, and in any case there should be a target for:*

- a) *pupil progress (could be at a class, cohort or subject level, depending on level of responsibility)*
- b) *xxx*
- c) *xxx*

*targets should be related to school and subject improvement plans*

Extent, pattern and focus of planned classroom observation:

*In line with our new approach to the purpose and impact of observation, evidence from observation is only **required** if it has happened as part of a formal process, e.g. probationary period.*

*Reviewees are welcome to provide supporting evidence from observation that has taken place as part of their own development – e.g. Action Research peer observation.*

Other evidence of performance to be collected in the next cycle including from external partners:

*Feedback from leaders of other teams (e.g. Heads of House); evidence of detailed planning; work scrutiny; pupil progress data; CPD records*

Agreed support – see the Training and Development Annex at the end

*Note – the line manager should only agree CPD support subject to final approval by the CPD coordinator/Headteacher. Limited resources need to be carefully managed.*

*As well as courses, and Inset, there are other possible CPD opportunities – e.g. pupil tracking, peer observation, NQT/ITE mentoring, distance learning.*

Reviewer signature ..... Date .....

Reviewee signature ..... Date .....

Reviewee comments

**Training and Development Annex:** A copy of the Annex (but no reviewee comments) should be sent to Head of CPD.

Agreed support to help the reviewee achieve the objectives:

**Needs:**

**Actions:**

**Appendix B**

<p><b>(Name of School)</b></p> <p><b>Associate Staff Performance Management and Objective Setting</b></p> <p><b>20__-20__ Review</b> <b>20__-20__ Objective Setting</b></p> <p><b>CONFIDENTIAL</b></p>
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<b>Name of Reviewee and Job Title</b>	
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<b>Name of Reviewer</b>	
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<b>Key aspects of the improvement plan relevant to the role</b>	<ul style="list-style-type: none"><li>•</li><li>•</li></ul>
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<b>Date of meeting</b>	
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<b>Job Description review</b> Please note any comments to be followed up with the Head of HR and Payroll	
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**Review of 20\_\_-20\_\_ Objectives**

<b>Objective</b>	Assessment of performance against objective. Summary of achievements etc.	Has this objective been met? Yes/No

<b>Review of development/training undertaken over the last 12 months (what impact has this had on performance?)</b>	
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**Development of objectives for 20\_\_-20\_\_**

<b>Role specific objectives</b> (Key performance priorities for the year)	<b>Success Criteria</b> What are the outcomes of the objectives?	<b>Support/Training needs</b>	<b>Target date</b>

<b>CPD objective</b> (Development required – Skills, knowledge etc)	<b>Delivery</b> How will development needs be met?	<b>Examples of impact</b> How will this add value to the role?

<b>General review of performance over the last 12 months.</b>	
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<b>Salary progression recommended?</b> (if applicable)	Yes		No		Not applicable (top of range)	
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<b>Signed.....</b> <b>(Reviewer)</b>	<b>Employee's comments</b>
<b>Date.....</b>	<b>Signed.....</b> <b>Date .....</b>