

## **PENRYN COLLEGE**

### **PERFORMANCE MANAGEMENT**

**Approved by:**

The Governing Body of Penryn College formally adopted Local Authority Performance Management Policy in March 2007. It has been reviewed annually. Changes to the Local Authority Policy are recorded as Footnotes.

Consultation: Professional Association Representatives and Staff consultative group- this group met 7 times over the period Sept 13- March 15 and continue to meet at least annually

**Reviewed by:** Governors' Personnel Committee: July 2018

**Responsible SLT member:** Dan Mather

**To be reviewed:** July 2019

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## **APPLICATION OF THE POLICY**

The Policy applies to the Headteacher and to all teachers employed by the school except teachers on contracts of less than one term, those undergoing induction (i.e., NQTs) and those who are the subject of capability procedures.<sup>1</sup>

## **PURPOSE**

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

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

## **LINKS TO SCHOOL IMPROVEMENT, SCHOOL SELF EVALUATION AND SCHOOL DEVELOPMENT PLANNING**

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

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

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

## **CONSISTENCY OF TREATMENT AND FAIRNESS**

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

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

## **QUALITY ASSURANCE**

The Headteacher has determined that she/he will delegate the reviewer role for some or all teachers for whom she/he is not the line manager. In these circumstances the Headteacher will:

- moderate a sample of planning statements to check that the plans are recorded in the statements of teachers at the school
- ensure consistency between those who have similar experience and similar levels of responsibility; and
- comply with the school's Performance Management Policy, the regulations and the requirements of equality legislation.

The Governing Body will nominate up to three Governors who will not be involved in the Headteacher's performance management or any appeal regarding the Headteacher's performance management to ensure that

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<sup>1</sup> The Governing Body decided in June 12 to separate the Capability and Performance Management processes.

the Headteacher's planning statement is consistent with the school's improvement priorities and complies with the school's Performance Management Policy and the Regulations.

The Governing Body will review the quality assurance processes when the Performance Management Policy is reviewed.

### **OBJECTIVE SETTING**

From September 12, the objectives set will be informed by the new Teaching Standards. The standards define the minimum level of practice expected of trainees and teachers from the point of being awarded QTS. Annual targets will be set and reviewed following a process of self-evaluation and discussion with individual team leaders using individual teachers Learning Logs as an evidence base<sup>2</sup>.

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

The teacher must be informed of the standards against which their performance will be assessed. 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 school all teachers, including the Headteacher, will have no more than three objectives.

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

It is usual for all staff, regardless of whether they are part time or not, have the same number of targets. However, the evidence and scope of the targets should reflect the teacher's part time role.

### **GATHERING THE EVIDENCE**

As part of the overall performance management process, it will be critically important for all members of staff who are subject to the school's staff Performance Management Policy to be clear about the evidence that will be required by their appraiser to enable the appraiser to assess their performance and make a substantiated and evidence-based pay recommendation.

Judgements relating to performance should be supported by evidence, agreed at the beginning of the performance cycle. Evidence should show and demonstrate a contribution towards:

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<sup>2</sup> This replaces – "The objectives set will relate to the new Teaching Standards from September 2012. Targets will be set after a full audit of the teacher's performance against these standards, along with the team leader, for the previous year"

- an increasing positive impact in pupil progress;
- an increasing impact on wider outcomes for pupils;
- improvement in specific elements of practice, e.g. lesson planning;
- an increasing contribution to the work at the school; and
- an increasing impact on the effectiveness of staff.

The evidence gathered by a member of staff will largely be determined by the nature and scope of the agreed objectives and/or the Teachers' Standards. Examples of evidence may include:

- classroom observations;
- task observations;
- reviews of assessment results;
- reviews of lesson planning records;
- internal tracking;
- moderation within and across schools;
- Pupils' Voice;
- Parents' Voice;
- headteachers' walkabouts; and
- evidence supporting progress against Teachers' Standards.<sup>3</sup>

### **REVIEWING PROGRESS**

At the end of the cycle assessment of performance against an objective will be on the basis of the performance criteria set at the beginning of the cycle.

In determining an appraisal, the Governing Body or Headteacher must assess the performance in the appraisal period, apply the relevant 'Standards', assess performance against the agreed objectives and assess the professional development needs and identify any action that should be taken and, finally, include a recommendation relating to pay.<sup>4</sup>

Good progress towards the achievement of a challenging objective, even if the performance criteria has not been met in full, will be assessed favourably.

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

### **PAY PROGRESSION LINKED TO PERFORMANCE**

The Governing Body must consider annually whether or not to increase the salary of teachers who have completed a year of employment since the previous annual pay determination and, if so, to what salary within the relevant pay ranges.

All pay recommendations should be clearly attributable to the performance of an employee.

The relevant body must decide how pay progression will be determined, subject to the following:

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<sup>3</sup> Gathering the Evidence – Added from LA Appraisal Policy Oct 13

<sup>4</sup> Added June 13

- a. The decision, whether or not to award pay progression, must be related to a teacher's performance.
- b. A pay recommendation must be made in writing as part of a teacher's annual appraisal report.
- c. Where a teacher is not subject to either the 2012 or the 2011 Regulations, the relevant body must determine through what process the teacher's performance will be assessed and a pay recommendation made for the purposes of making its decision on pay.
- d. Continued good performance, as defined by an individual school's Pay Policy, should give a classroom or an unqualified teacher an expectation of progression to the top of their respective pay ranges.
- e. A decision may be made not to award pay progression, whether or not the teacher is subject to capability proceedings.
- f. The Governing Body can award half a point rather than a full point as laid out in the school's Pay Policy.
- g. The Governing Body can withhold the pay award (full or half point) for a set period of time if the evidence for the pay award is not complete or there is a justifiable argument for granting the member of staff additional time to complete sections of their performance management

The relevant body must set out clearly in the school's Pay Policy how pay progression will be determined.<sup>5</sup>

### **APPEALS**

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

Details of the appeals process are covered in the school's Pay Policy.

### **CONFIDENTIALITY**

The whole performance management process and the statements generated under it, in particular, will be treated with confidentiality at all times. Only the reviewee's line manager or, where she/he has more than one, each of his/her line managers (including SLT Team Link) <sup>6</sup> will be provided with access to the reviewee's plan recorded in his/her statement, upon request, where this is necessary to enable the line manager to discharge his/her line management responsibilities. Reviewees will be told who has requested and has been granted access.

### **TRAINING AND SUPPORT**

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

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

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

With regard to the provision of CPD in the case of competing demands on the school budget, a decision on relative priority will be taken with regard to the extent to which:

- (a) the CPD identified is essential for a reviewee to meet their objectives; and
- (b) the extent to which the training and support will help the school to achieve its priorities. The school's priorities will have precedence. Teachers should not be held accountable for failing to make good

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<sup>5</sup> Pay Progression Linked to Performance - Added from LA Appraisal Policy Oct 13

<sup>6</sup> Added Oct 12

progress towards meeting their performance criteria where the support recorded in the planning statement has not been provided.

## **APPOINTMENT OF REVIEWERS FOR THE HEADTEACHER**

### **Appointment of Governors**

In this school the Governing Body is the reviewer for the Headteacher and to discharge this responsibility on its behalf may appoint two or three Governors.

Where a Headteacher is of the opinion that any of the Governors appointed by the Governing Body under this regulation is unsuitable for professional reasons, she/he may submit a written request to the Governing Body for that Governor to be replaced, stating those reasons.

### **Appointment of School Improvement Partner or External Adviser**

The Governors have appointed a School Improvement Partner<sup>7</sup> for the school, who will provide the Governing Body with advice and support in relation to the management and review of the performance of the Headteacher.

## **APPOINTMENT OF REVIEWERS FOR TEACHERS**

In the case where the Headteacher is not the teacher's line manager, the Headteacher may delegate the duties imposed upon the reviewer, in their entirety, to the teacher's line manager. In this school the Headteacher has decided that they will be the reviewer for those teachers she/he directly line manages and will delegate the role of reviewer, in its entirety, to the relevant line managers for some or all other teachers.

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

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

Where it becomes apparent that the reviewer will be absent for the majority of the cycle or is unsuitable for professional reasons the Headteacher may perform the duties himself/herself or delegate them in their entirety to another teacher. In this case when a reviewer is a teacher, and 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.

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

## **THE PERFORMANCE MANAGEMENT CYCLE**

The performance of teachers must be reviewed on an annual basis. Performance planning and reviews must be completed for all teachers by 31 October and for Headteachers by 31 December. Mid-year review meetings may also be held if agreed and considered necessary.

The performance management cycle in this school, therefore, will run from October to October for teachers, and from December to December for the Headteacher.

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<sup>7</sup> Replaces The Local Authority

Teachers who are employed on a fixed term contract of less than one year, will have their performance managed in accordance with the principles underpinning the provisions of this Policy. The length of the cycle will be determined by the duration of their contract. Similarly staff who teach a very small number of lessons (Cover Teachers, some part time staff) will need to use the teachers' performance management process but will set targets and used evidence proportionate to their teaching load.

Where a teacher starts their employment or transfers to a new post within the school part way through a performance management cycle, the Headteacher, or in the case where the employee is the Headteacher, the Governing Body, shall determine appraisal arrangements for the remainder of the appraisal period, with a view to bringing their cycle into line with the cycle for other teachers and staff as soon as possible. The timeline for this will be agreed in the first half term.

Where a teacher is employed on a fixed term contract for a period less than 12 months, the length of the appraisal period will be determined by the duration of the contract.

Where a teacher is away from school because of maternity, adoption or parental leave, it is unlawful for the school to deny that teacher a performance management and subsequent pay progression decision because of their maternity, adoption or paternity leave. When a teacher returns from maternity, adoption or paternity leave, the school will give any pay increases that would have been received, following the performance management interview, had they not been on maternity, adoption or parental leave.

We will take a practical and flexible approach to conducting the performance management and making pay decisions for those absent on maternity, adoption or parental leave , including where a teacher has been absent for all or part of the reporting year. When possible we will consider conducting performance management interviews prior to the teacher beginning their leave. The latest evidence up to the time of interview will be used as the basis for the performance management and any pay decisions. If there is little to go on from the current year, account can be taken of performance during previous performance management cycles. We will need to balance being flexible with the need to be rigorous and consistent.

#### **RETENTION OF STATEMENTS**

Performance management planning and review statements will be retained for a minimum period of six years.

#### **MONITORING AND EVALUATION**

The Governing Body will monitor the operation and outcomes of performance management arrangements.

The Headteacher will provide the Governing Body with a written report on the operation of the school's Performance Management Policy annually. The report will not contain any information which would enable any individual to be identified. The report will include:

- the operation of the Performance Management Policy;
- the effectiveness of the school's performance management procedures;
- teachers' training and development needs; and
- the cumulative impact of any collective whole school targets; individual teachers will not be named.<sup>8</sup>

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<sup>8</sup> Added Oct 12

The Governing Body is committed to ensuring that the performance management process is fair and non-discriminatory and the following monitoring data should be included in the Headteacher's report because they represent the possible grounds for unlawful discrimination:

- race;
- sex;
- sexual orientation;
- disability;
- religion and belief;
- age;
- part-time contracts;
- Trade Union membership.

The Headteacher will also report on whether there have been any appeals or representations on an individual or collective basis on the grounds of alleged discrimination under any of the categories above.

### **REVIEW OF THE POLICY**

The Governing Body will review the Performance Management Policy every school year at its Curriculum and Personnel Committee Meeting<sup>9</sup>.

The Governing Body will take account of the Headteacher's report in its review of the Performance Management Policy. The Policy will be revised as required to introduce any changes in regulation and statutory guidance to ensure that it is always up to date.

The Governing Body will seek to agree any revisions to the Policy with the recognised Trade Unions having regard to the results of the consultation with all teachers.

The Governing Body agreed to add appendices regarding performance related pay criteria following consultations with staff and Trade Union representatives. These are:

Appendix Two: Pay Progression Criteria

Appendix Three: UPS Criteria

Appendix Four: Support Programmes and Transition to Capability<sup>10</sup>

Appendix Five: Pay Review Process

Appendix Six: Applying to be on the Upper Pay spine

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

### **ACCESS TO DOCUMENTATION**

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

### **CLASSROOM OBSERVATION PROTOCOL**

All classroom observation will be undertaken in accordance with the performance management regulations, the associated guidance published by the Rewards and Incentives Group and the classroom observation protocol that is appended to this Policy in Appendix One.

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<sup>9</sup> Changed from Full Governors Meeting Oct 2012

<sup>10</sup> Added October 2013



## **ROLES AND RESPONSIBILITIES**

### **The teacher**

- Will complete their interim performance management form twice a year and share it with their line manager.
- Will work with their line manager to complete their annual performance management form, sharing evidence necessary to complete the form.
- Will inform the line manager if they have any queries or concerns about the performance management process or pay decisions.

### **The line manager**

- Will meet with teachers whose performance management they are doing twice a year to help them complete the interim performance management form.
- Will ensure all the forms for their team are completed to a good standard by the requisite deadline.
- Will support teachers in providing them with necessary evidence and helping them interpret this evidence.
- As part of the annual performance management interview, the line manager will make their recommendation concerning any movements on the pay scale for that teacher.
- Will share their recommendations with the assistant headteacher for performance management prior to the scrutiny group meeting
- Will be the link between the assistant headteacher and the teacher if any investigation is required prior to the scrutiny group meeting concerning their standards and/or the evidence required to decide any movements on the pay scale.
- Will inform the assistant headteacher if any teachers in their team have questions or concerns about the performance management process

### **Assistant headteacher – performance management**

- Will ensure all staff are trained in performance management procedures.
- Will ensure paperwork is up-to-date and fit for purpose.
- Will be a member of the scrutiny group.
- Will be the link between the scrutiny group and the line manager in reviewing evidence and determining recommendations.
- Will ensure that all the evidence required for the scrutiny group meeting is in place for that meeting.
- Will maintain the school policy on performance management
- Will lead the evaluation of performance management processes, consulting with staff and sharing conclusions with staff and Governors

### **Assistant headteacher – data**

- Will ensure that line managers have whole school data and data for their team to enable interim performance management and the annual performance management interviews to take place.
- Will provide training for teachers and heads of department in the analysis and use of this data.
- Will provide guidance on national and whole school standards.

**The personnel officer**

- Will keep all records of movements on the pay spine.
- Will manually create a report to Governors covering a three year period, which shows all pay movements and linking this to exam reviews and raise online .
- Will be part of the scrutiny group.
- Will ensure staff are formally informed of decision by letter.
- Will link with HR at County Hall in the event that we need advice on any aspects of our performance management processes.

**The Headteacher**

- Will be a member of the scrutiny group.
- Will chair the staff performance management group.

**The scrutiny group**

- Will examine the recommendations from the HOD with the HOD present.
- Will examine and compare applications from those teachers at the same pay grade to promote consistency and parity.
- Will decide if the recommendation from the line manager should be accepted or not, providing a clear rationale for the line manager and teacher.
- Will review initial decisions once the line manager and teacher have had the chance to consider the initial decision.

**The Governors pay committee**

- Determines the pay awarded to individual members of staff.
- A group of these governors will form the appeal panel
- Will annually challenge the scrutiny group about the awarding of salary increases and implementation of performance management processes

## **APPENDIX ONE – CLASSROOM OBSERVATION PROTOCOL**

The Governing Body is committed to ensuring that classroom observation is developmental and supportive and that those involved in the process will:

- carry out the role with professionalism, integrity and courtesy;
- evaluate objectively;
- report accurately and fairly; and
- respect the confidentiality of the information gained.

The 3 hours statutory limit on classroom observations for appraisal has been removed; the Government believes that Headteachers and other appraisers should be free to decide how much observation is necessary for them to form an accurate assessment of a teacher's performance. However, a Headteacher may determine that it is necessary to collect additional evidence to help inform the evaluation of teaching standards and school improvement strategies. This additional evidence may include walkabouts, task observation, reviews of assessment results and lesson planning records. It may not be practicable to provide advance notice of these additional monitoring activities.<sup>11</sup>

The arrangements for classroom observation will be included in planning and review statement and will include the amount of observation, specify its primary purpose, any particular aspects of the teacher's performance which will be assessed, the duration of the observation, when during the performance management cycle the observation will take place and who will conduct the observation.

Where evidence emerges about the reviewee's teaching performance which gives rise to concern during the cycle, classroom observations and support<sup>12</sup> may be arranged in addition to those recorded at the beginning of the cycle subject to a revision meeting being held in accordance with the Regulations.

Information gathered during the observation will be used, as appropriate, for a variety of purposes including to inform school self-evaluation and school improvement strategies in accordance with the school's commitment to streamlining data collection and minimising bureaucracy and workload burdens on staff.

In keeping with the commitment to supportive and developmental classroom observations those being observed will be notified in advance.

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

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

Written feedback will be provided within five working days of the observation taking place. If issues emerged from an observation that were not part of the focus of the observation as recorded in the planning and review statement these should also be covered in the written feedback and the appropriate action taken in accordance with the regulations and guidance.

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<sup>11</sup> Added June 2013

<sup>12</sup> And support - Added Oct 12

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.

The Headteacher has a duty to evaluate the standards of teaching and learning and to ensure that proper standards of professional performance are established and maintained. The Headteacher and senior leaders<sup>13</sup> have a right to drop in to inform their monitoring of the quality of learning.

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

As this school is a large school, drop ins will be undertaken by the Headteacher supported by other senior teachers within the school.

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

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<sup>13</sup> And senior leaders – added Oct 12

## **APPENDIX TWO – Pay Progression Criteria**

### **In the first year of teaching**

- The Teaching Standards are met and the last full year's lesson observations shows an improving trend reflecting increased capability.

### **Criteria to move up the Main Scale:**

- Teaching Standards are met and the last full year's lesson observations shows at least "Good" teaching and developing skills as identified from the teachers audit.
- Success towards Appraisal Targets - Core Expectations for Teaching and Learning, Literacy, and Pupil Progress are met and, where a leadership responsibility is held, the appropriate Leadership expectation is met.
- Pupils of all abilities make good progress and at least match and many exceed the progress of students nationally. The gap between disadvantaged students and other students is narrowing.
- NQT Assessments, where relevant.

### **Criteria to move through Threshold to Upper Pay Spine:**

Completion of the Threshold Application and Criteria for Main Scale and:

- Two year's formal lesson observations to be showing at least consistently good teaching.
- An individual CPD plan to enable him/her to continue to improve teaching skills so that by the time they reach UP3 lesson observations demonstrate consistently good outcomes moving towards outstanding ones.
- Pupils of all abilities, and particularly in those groups where there is a need to accelerate progress, at least match and many exceed the progress of students nationally.

### **Criteria to progress up the Upper Pay Spine:**

- The member of staff will have completed 2 successful performance appraisals including two year's formal lesson observations to be showing at least consistently good teaching.
- Pupils of all abilities, and particularly in those groups where there is a need to accelerate progress, at least match and many exceed the progress of students nationally.
- An individual CPD plan to enable him/her to continue to improve teaching skills so that by the time they reach UP3 lesson observations demonstrate consistently good outcomes moving towards outstanding ones.
- Assessment against Upper Pay Spine 1, 2 and 3 Criteria (see Appendix Three) to demonstrate increasing responsibility and commitment to school life and work including sharing areas of expertise as identified with other staff

### **Criteria for Accelerated Pay:**

- The progress of the classes, during the relevant time frame, are significantly better than department, whole school and national averages.
- Performance Targets, during the relevant time frame, are challenging and fully met.
- The process for applying will be made clear to those interested at the start of the audit period in May. Staff will be asked to gather evidence from observations and drop ins by SLT, peers and HODs to support their application. This evidence will need to be in place by the time the performance management forms are due and will need to show that teaching is consistently outstanding.

## APPENDIX THREE – UPS Criteria

### Fulfilling Upper Pay Spine Criteria

The UPS criteria were devised in close consultation with Penryn College Performance Management Working Party. All staff had the chance to make contributions in a staff meeting dedicated to this. The criteria will be reviewed regularly and updated when necessary.

Criteria for each point are weighted. There are 2 lists of criteria which are numbered and lettered.

- **To achieve UPS1** the teacher's PMgt evidence and review must show they have fulfilled at least 1 activity from 1-11.
- **To achieve UPS2** the teacher's PMgt evidence and review must show they have fulfilled at least 1 activity from 1-11 and one from A-H green list.
- **To achieve UPS3** the teacher's PMgt evidence and review must show they have fulfilled at least 1 activity from 1-11 and 2 other criteria, at least one of which must be from the A-H list.

**Please note that UPS activities should in no way overlap with responsibilities for which the teacher is already in receipt of a TLR. This would result in double payment for the same activity so is not permitted**

UPS Criteria	Evidenced by:	Comments
I am <b>proactive</b> in developing myself as a teacher, <b>evaluating my performance</b> and taking responsibility for <b>my professional development</b>		
My Performance Management shows that I meet all the school's <b>core expectations for UPS staff:</b> <b>Core Expectation</b> - Observed occasions demonstrate my teaching is consistently good and/or outstanding and I have a CPD plan in place to enable me to be outstanding consistently. <b>Core Expectation</b> – I share areas of expertise as identified in my audit with other staff. <b>Core Expectation</b> - Pupils of all abilities and particularly in those groups where there is a need to accelerate progress, at least match and many exceed the progress of students nationally.		
1. I develop <b>lesson plans, UOW and materials</b> to support learning with other staff and/or across my department.	HOD/SLT T&L Link	
2. I help moving the school move forward in its <b>development priorities.</b>	SLT	
3. I contribute to the development of school policy through participation in <b>staff working parties.</b>	Chair of Working Party	
4. I <b>pilot approaches to teaching and learning</b> that I share with my team and/ or the wider school and help monitor.	HOD/SLT T&L Link	

5. I participate in <b>development programmes</b> such as the G20 group to develop my teaching.	GH	
6. My <b>behaviour management</b> is exemplary and I share my approaches with staff, helping them to manage behaviour confidently.	HOD/JPH	
7. I am part of the College's <b>induction plan</b> for new staff, ensuring they understand school processes and standards.	GH	
8. I offer <b>extracurricular learning opportunities</b> for students.	HOD	
9. I take an active role in <b>out of school activities</b> such as the school council, D of E, work experience.	Person Leading Activity	
10. I take a <b>lead role</b> in ensuring that <b>behaviour at breaks and lunches</b> in my department area meets school standards.	HOD	
11. I represent my <b>house or department team on cross curricular working parties.</b>	Chair/HOD	
A. My audit shows my particular areas of strength as a teacher and I share these through whole school <b>CPD activity.</b>	CPD	
B. I take an active role in <b>developing cross curricular projects</b> with other departments.	HOD/ SLT T&L link	
C. I work with TAs and the SENCo to <b>maximize the impact of TA work</b> on pupils' learning across the school.	SENCo	
D. I <b>coach</b> and support other staff and/or ITT trainees/NQTs to help them develop their skills as teachers.	GH/AC	
E. I am an active link between <b>my department and primary schools</b> and/ or other <b>secondary schools and/ or the MAT</b>	HOD	
F. I link with <b>local/county/regional/national networks</b> and I am a key link for the dept/whole school here.	HOD/SLT	
G. I develop <b>new ways of working with other agencies</b> and share these with colleagues.	HOD/SLT	
H. I take on substantial roles in the school such as <b>staff governor/union rep.</b>	Chair	
I. I support my faculty by developing a key strand of learning across the team, ensuring resources and UOW are in place	HOF	

J. I support my faculty by monitoring a particular aspect of our work, sharing findings with the team and working with the HOF on relevant development work	HOF	
k. I support my faculty by monitoring and supporting the progress of a particular group of target students across the faculty	HOF	



## **APPENDIX FOUR – Support Programmes**

The Governing Body is committed to ensuring that Penryn College provides support wherever needed. This is accessed through the CPD Officer. Staff can request coaching and or support at any time.

The teacher, line manager and CPD Officer will meet to agree a clear and accurate diagnosis of the issues concerned to ensure that an effective individual support plan is put in place with an agreed time scale. Support may include a range of activities. Some are: allocation of a teaching and learning coach; planned observations of other teachers; and/or appropriate resources.

There are specific times when staff members may be required to follow a programme of support, agreed between the teacher, line manager and the CPD Officer. These are:

- a) Following a formal lesson observations graded at 3 or below.
- b) Following a pattern of pupil underperformance in some or all classes.
- c) Consistent failure to meet performance management targets.
- d) Following an issue identified though SLT drop in but not addressed by the time of subsequent monitoring.

### **Coaching**

- All teachers who are being coached should have a formal observation at least once every 4 weeks.
- If, over a period of time, a teacher is stuck on the 2-3 borderline, a place on the next appropriate Olevi course will be set up or a formal link to a coach would be arranged. The line manager should signal this need.
- Coaching will decrease in frequency and intensity as teachers perform at Grade 2 in observations. Generally it will be delivered in 4 week blocks.
- The work of the coaches is monitored through regular meetings of the coach team and SLT links. Progress is reported to Governors.
- Coaching will typically occur over a 4 week block: the first 2 weeks the coach will team teach/drop in and help the teacher plan for a lesson the coach observes. At the end of the 4 week period the teacher will plan for an observed lesson independently and a triangulated observation will take place.

### **If there are serious concerns identified during a triangulate observation:**

- The teacher will have a follow up meeting within a week of the lesson feedback with the HOD, SLT CPD officer and a coach. A follow up observation will happen within 2 school weeks, with the teacher receiving intensive input from the coach. If the teacher is making clear progress further monitoring will be agreed with the HOF and AHT. If the teacher is still not showing clear signs of progress, a meeting with the Headteacher, the CPD officer, the coach, the HOD and the teacher will discuss next steps.

This meeting will identify what the barriers to better performance are and if these are linked to potential competency or disciplinary issues. The meeting will also include a review with the teacher of their standards audit. A formal record of this meeting will be shared with the teacher and retained.

### **If there are clear areas for improvement during a triangulated observation:**

- Feedback will precisely identify the reason for the grading and what specifically needs to improve.
- The teacher will be given the opportunity to have coaching or support from within the department over an agreed period followed by another triangulated observation if they wish.
- Or, if the teacher does not want another observation the HOD and SLT link will use drop ins to monitor the target area identified in the observation in a number of classes, feeding back to the teacher each time and ensuring that there is a clear, shared record of this monitoring.
- If either the HOD or SLT think the cause for concern is still apparent through the follow up observation or drop ins then the teacher will be assigned a coach to help address the issue. The coach and teacher will agree an action plan and time frame. If by the second or third subsequent observation, this is still not happening, a meeting with the Headteacher, the CPD officer, the coach,

the HOD and the teacher will discuss next steps. This meeting will identify what the barriers to improvements are and if these are linked to potential competency or disciplinary issues. The meeting will also include a review with the teacher of their standards audit. A formal record of this meeting will be shared with the teacher and retained.

#### **If there is a repeated concern from drop ins**

- If an issue is identified during a drop in the member of SLT will discuss this with the teacher and sum up the issue in an email which the member of SLT will store.
- If during subsequent visits the issue remains, the SLT will call a meeting with the teacher and their HOF to discuss the issue, identify a way forward and agree how the SLT and HOF will monitor it and over what time frame
- If following this monitoring the issue still remains, depending on the severity of the issue, the teacher will either be assigned a coach or, if more serious, the teacher will have a follow up meeting with the HOD, SLT CPD officer and a coach. A follow up observation will happen within 2 school weeks, with the teacher receiving intensive input from the coach. If the teacher is still not showing clear signs of progress, a meeting with the Headteacher, the CPD officer, the coach, the HOD and the teacher will discuss next steps.
- At any time if the teacher feels unhappy about the process or wants to raise any issues he/she should do so directly with the member of SLT or if he/she feels it appropriate to raise it through their HOF.

#### **Transition to Capability**

If the Headteacher is not satisfied with progress, despite there having been a reasonable degree of additional support and guidance provided to the employee throughout the performance management process, or if there are separate concerns that have been identified outside of the performance management cycle, the employee will be notified verbally and in writing that the performance management process will no longer apply and that their performance will be managed under the Capability Procedure.

It is important that the Headteacher has taken all appropriate steps and measures to assist the person to address their performance; these measures should have been discussed with the person and should be recorded in the performance management records as being offered and undertaken.

Moving to the formal Capability Procedures is a serious step and both parties should be aware of the potential consequences.

Performance concerns should be dealt with through the staff performance management policy but if progress towards addressing performance concerns is insufficient or the concerns are sufficiently serious, a 'transition meeting' should be held; the expectation is that this meeting will reduce the likelihood of invoking the capability procedure or triggering a prolonged period of sickness absence.

In this event, further support should be granted through the appraisal procedure or, alternatively, the employee will be advised to consider the relative merits of resigning their post before the formal capability procedure is invoked.

#### **Capability Procedure**

This procedure complies with the provisions of the ACAS code of practice.

The Capability Procedure applies only to teachers and Headteachers where there are serious concerns about their performance that are not able to be addressed by the appraisal procedure.

The purpose of a capability meeting is to establish the facts and will usually be chaired by either the Chair of Governors or the Headteacher. The subject of the capability meeting will be able to respond to concerns about their performance and to present any relevant evidence.

### **Formal Capability Meeting**

At least 5 working days' notice will be given of the formal capability meeting. The notification will contain sufficient information about performance concerns and the possible consequences to enable the teacher to prepare to present their case at the meeting. The notification of a capability meeting will be accompanied by copies of written evidence, details of the date and time of the meeting and will confirm the teacher's entitlement to be accompanied by a companion who may be a work colleague or a trade union representative.

The chair of the capability meeting will aim to a) identify the teacher's professional shortcomings; b) give clear guidance on the improved standard of performance needed; c) explain any support that will be available to help the teacher improve to a point where they can be removed from the capability procedure; d) set out the timetable for improvement and explain how performance will be monitored and reviewed; and e) warn the teacher formally that failure to improve within the set period could lead to dismissal (in very serious cases, the warning could be a final written warning). Notes will be taken of the formal meeting and a copy sent to the member of staff.

### **Monitoring and Review Period following a Capability Meeting**

A performance monitoring and review period will follow the formal capability meeting.

### **Formal Review Meeting**

Following the conclusion of a monitoring and review period, the member of staff will be invited to a formal review meeting. At the formal review meeting, if the person conducting the meeting is satisfied that the teacher has made sufficient improvement, the capability procedure will end and the appraisal process will re-start. If some progress has been made and there is confidence that more is likely, it may be appropriate to extend the monitoring and review period. If no or insufficient improvement has been made during the monitoring and review period, the teacher will receive a final written warning.

### **Decision Meeting**

At the decision meeting, if an acceptable standard of performance has been achieved during the monitoring and review period, the capability procedure will end and the appraisal process will re-start. If performance remains unsatisfactory, a decision, or recommendation to the Governing Body, will be made that the teacher should be dismissed or required to cease working at the school (consulting the Local Authority in those schools where the Local Authority is the teacher's employer).

### **Dismissal**

Once the decision to dismiss has been taken, the Governing Body will dismiss the teacher with notice or once the Governing Body has decided that the teacher should no longer work at the school, it will notify the Local Authority of its decision and the reasons for it. The local authority must dismiss the teacher within 14 days of the date of the notification.

## **Appeal**

If a teacher feels that the decision to dismiss them is wrong or unjust, they may appeal in writing against the decision, setting out the grounds of the appeal. The teacher will be informed in writing of the results of the appeal hearing without unreasonable delay.

## APPENDIX 5- Pay Review Process

### REVIEW OF TEACHERS' PAY

**APPRAISAL PROCESS** includes an annual self-evaluation against Teachers' Standards, regular reviews of the progress pupils are making in each teacher's classes, three formal classroom observations and completion of agreed performance management targets.

*"There is no statutory process for schools to follow in terms of hearing pay appeals. A key aspect is for the opportunity for a teacher to discuss a pay recommendation prior to it being confirmed by the Governors Personnel Committee to ensure the process is transparent and fair. The opportunity to discuss a pay decision before it is made may mitigate the need for the more formal stages of 3 and 4."*

#### **Implementing Your School's Approach to Pay DfE Sept 14**

**If, AT ANY STAGE, there is a need for more evidence in order to make a definitive pay recommendation, the teacher will meet with their line manager/Senior Leader again to confirm/resolve any inaccuracies or ambiguities and discuss any extenuating circumstances.**

The Vice Chair of Governors will shadow process to help ensure quality assurance. The process will be evaluated at all levels and recommendations made for changes agreed prior to the next annual cycle.

**Stage 1** Line manager appraises teachers in their team once a year, with interim appraisals if needed. **The line manager makes a pay recommendation.**

**Stage 2** In order to confirm pay recommendations, and to ensure fairness and equity, **Headteacher, Assistant Headteacher (CPD) and Personnel Officer scrutinise individual appraisal paperwork:** records of formal lesson observations including performance against Teachers Standards; evidence of pupil progress compared with department, school and national expectations and, where relevant, Newly Qualified Teacher termly reports, Threshold Applications or Upper Pay Spine criteria.

**The AHT (CPD) will discuss and explore with those teachers whose evidence does not support their line manager's pay recommendation or their present salary level to establish the reason why, including any extenuating circumstances. The scrutiny group will then review the original decision in light of this evidence.** The teacher will be informed of the outcome.

All teachers will be informed of the pay recommendation/performance by letter.

**Stage 3** **If, the teacher still believes an incorrect recommendation will be made, she/he may submit a formal written statement, setting down in writing the grounds for not agreeing the pay recommendation, to the Governors' Pay Review Group.** At a formal meeting of the **Governors' Pay Review Group, the teacher is given the opportunity to make representations,** including presenting evidence, calling witnesses and the opportunity to ask questions. The Pay Review Group will write to the teacher with their decision.

**Stage 4** If the teacher does not agree with the pay determination, **the teacher may ask for an appeal hearing by the Governors' Pay Appeals Panel.** The Panel will comprise 3 Governors who have not been involved in discussions regarding the teacher's pay determination and who will be familiar with the school's pay and appraisal policies.

In the hearing, both the teacher and management representative will present evidence, call witnesses and question each other. The Panel is permitted to ask exploratory questions. The Panel must reach a decision

and relay it in writing to the teacher, within 5 days of the hearing, including why they have reached the decision they have. The Appeal Panel's decision is final and, as set out in Section 3, Paragraph 6 of the STPCD 2014, there is no recourse to the general staff grievance procedure.

Teachers should make their request to appeal their pay determination in writing to the Clerk to Governors, stating the basis of the appeal, within ten school working days of receipt of notification of the decision from the Personnel Committee. Appeals will normally be heard within twenty school working days of receipt of the request. CSF HR Services are available for advice.

Teachers at Stages 3 and 4 may be accompanied by a colleague or professional representative.

## **APPENDIX 6- Applications to be Paid on the Upper Pay Range**

From 1 September 2014, any qualified teacher can apply to be paid on the Upper Pay Range. If a teacher is simultaneously employed at another school(s), they may submit separate applications if they wish to apply to be paid on the UPR in that school(s). This school will not be bound by any pay decision made by another school.

All applications should include the results of appraisals for the 2 previous appraisal cycles under the Appraisal Regulations 2012, including any recommendation on pay. Where such information is not applicable or available, a written statement and summary of evidence designed to demonstrate that the applicant has met the assessment criteria must be submitted by the applicant.

In order for the assessment to be robust and transparent, it will be a broad evidence-based process only. Teachers therefore should ensure documentary evidence supporting the summary in the written application is available on request in the assessment of the application. Those teachers who are not subject to the Appraisal Regulations 2012, or who have been absent, through sickness, disability or maternity, adoption or parental leave, may cite written evidence from a 3 year period before the date of application, from this school and other schools, in support of their application.

### **9.3 Process:**

One application may be submitted annually. The closing date for applications is normally 31<sup>st</sup> October each year; however, exceptions will be made in particular circumstances, e.g., those teachers who are on maternity, adoption or parental leave or who are currently on sick leave. The process for applications is:

- complete the school's application form;
- submit the application form and supporting evidence to the head teacher by the cut-off date of 31<sup>st</sup> October;
- the Headteacher will assess each Threshold application within 20 school days will make a recommendation to the governors pay committee;
- the pay committee will make the final decision, advised by the Headteacher;
- Teachers will receive written notification within 10 working days of the outcome of this decision. Where the application is unsuccessful, the written notification will include the areas where it was felt that the teacher's performance did not satisfy the relevant criteria set out in this Policy (see 'Assessment' below).
- If requested, oral feedback which will be provided by the Headteacher. Oral feedback will be given within 10 school working days of the date of notification of the outcome of the application. Feedback will be given in a positive and encouraging environment and will include advice and support on areas for improvement in order to meet the relevant criteria.
- Successful applicants will move to the minimum of the UPR on 1 September of the following year.
- Unsuccessful applicants can appeal the decision. The appeals process is set out at Section 19 of the school's Pay Policy.

### **9.4 Assessment:**

As well as the criteria on the school's application form, the teacher will be required to meet the criteria set out in paragraph 19 of the STPCD, namely that:

- the teacher is highly competent in all elements of the Teacher Standards; and
- the teacher's achievements and contribution to the school are substantial and sustained.