



## **PERFORMANCE DEVELOPMENT POLICY**

**Lead** Director of Education

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# APPRAISAL AND PERFORMANCE DEVELOPMENT POLICY

## 1. Introduction

*The Collegiate Trust* is a partnership of schools in Crawley and Croydon whose purpose is to build *collaboration to deliver exceptional education*, and whose vision is *exceptional education for all*. This is reflected in our Trust's values: **ambition & collaboration**, as well as in our desired outcomes: **achievement & enjoyment**. This policy provides a key mechanism that informs our wider *School Improvement Strategy*.

### 1.1 Aims of the Policy

1.1.1 This policy sets out the framework for a clear and consistent assessment of the overall performance of all staff in each school and for supporting their development within the context of the school's *Development Plan* and their own professional needs. It is key to supporting The Collegiate Trust's commitment to developing its staff and people. Where colleagues 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 mentor.

1.1.2 The policy applies to the Principal or Headteacher (hereafter referred to as the *Principal*) and to all colleagues employed in the School, except those on contracts of less than one term, those undergoing induction (i.e. ECTs) and those who are subject to support through the Capability Policy. The Capability Policy sets out the transition to capability procedures where there are serious concerns about a colleague's performance.

1.1.3 Performance Development will be a supportive and developmental process designed to ensure that all colleagues have the skills and support they need to carry out their role effectively. It will help to ensure that staff are able to continue to improve their professional practice and to develop as valued and effective colleagues, making a positive contribution to performance improvement.

### 1.2 Principles of the Policy

Colleagues are required to engage in professional development focusing on ***improving a specific area of practice with clear intentions for impact on pupil outcomes*** sustained over time. Through the process, colleagues will ***engage critically with research and theory and discuss evidence*** which can inform approaches. Through the inquiry, colleagues should ***reflect on progress and improvements made, evaluating impact*** and identifying next steps. Colleagues are encouraged to take ownership of their Performance Development plans, using them for personal benefit as professional development tools. The key components of the performance development cycle should be used to motivate and enthuse individuals to:

- Discuss one's own practice (job satisfaction)
- Review progress (achievement)
- Acknowledge strengths and share expertise (recognition)
- Contribution to school improvement (collaboration)
- Set aims and inquiry questions (advancement)

This policy should be read in conjunction with the *Salary Policy* which provides details of the arrangements relating to pay. Colleagues should note that these policies and associated procedures are highly mechanistic and describe functions and systems. At no time should such systems represent the totality of work on performance management; high quality discussion, joint practice development and strong collaborative opportunities are key to successful performance improvement.

## **2. Performance Development**

- 2.1 To comply with the requirement to show how the arrangements for performance development link with those for school improvement, self-evaluation and development planning, and to minimise workload and bureaucracy, the performance development process will be the main source of information for the evaluation of teaching and learning and the wider school improvement process. This will be achieved primarily through evaluation of improvement need within teams (for example, departments, subjects, colleges, phases, leadership teams) from which up to three improvement aims will be set. Colleagues within each team will set a clear and precise inquiry question to form their own Performance Development Plan, which will contribute to the achievement of the team's aims.
- 2.2 The performance development process is the key contributor for deciding on salary progression for staff, in accordance with the *Salary Policy*. As part of this process, analyses of the implementation of the inquiry question, the impact of professional development and performance improvement, such as pupil and student attainment / progress, will be reviewed.

## **3. Quality Assurance and Consistency**

- 3.1 The Collegiate Trust is committed to ensuring consistency of treatment and fairness in the operation of performance development. To ensure this, the following provisions are made in relation to moderation, quality assurance and the setting of aims and inquiry questions.
- 3.2 The overall improvement aims set by teams should be submitted to the leader with oversight of Performance Development (usually the Principal, Head of School or Deputy Principal) who will ensure alignment of aims with the school's priorities. Once a team's aims are moderated and confirmed, individual colleagues will set their inquiry questions. These will be moderated and approved by senior leaders to ensure they align with the overall aims of the team. See Section 6.1 for a timeline.
- 3.3 The Chair or Vice Chair of Governors, whichever is not involved in the review of the Principal's performance, will review the performance development inquiry questions of all members of the SLT with the Principal.
- 3.4 *The Collegiate Trust* will review the quality assurance processes when this policy is reviewed.

## **4. Appointment of Appraisers**

- 4.1 *The Collegiate Trust* is the appraiser for the CEO and will appoint a sub-committee of four non-executive Directors from the Board as a *Remuneration Committee* (RemCom) to carry out this process. In doing so, the RemCom considers:
- a. Educational outcomes across the Trust
  - b. Leadership of the Trust
  - c. Growth and complexity of the Trust

This is within the context of the Trust's annual Strategic Plan and agreed Trust aims. The RemCom is a sub-committee of the Trust Board, acting under its delegated authority and reporting to it. The CEO will join the RemCom to advise on the performance of other members of the Senior Executive Team and any other senior members of staff whose salary is £100k and over.

- 4.2 The CEO is the appraiser for all central Trust staff, although he may delegate aspects of this role to members of the Executive Team or other leaders within the Central Team.

- 4.3 *The Collegiate Trust* is the appraiser for the Principal and will appoint a sub-committee of two Governors from the LGB (usually including the Chair or the Vice Chair), to be joined by the CEO or his nominee. In reviewing performance and salary, this committee considers:
- a. Educational outcomes in the school
  - b. Leadership of the school
  - c. Contribution as a leader across the wider Trust

This sub-committee will inform the LGB that the Principal's Performance Review has taken place. For high salaries above £100k, ratification of the sub-committee's decision will be sought at RemCom, presented by the CEO.

## 5. Appointment of Appraisers for Colleagues in Academies

- 5.1 The Principal will be the appraiser for all members of the SLT.
- 5.2 The Principal will establish an appropriate line manager as the mentor for each colleague. The Performance Development Tree will be published each year as part of the *Staff Handbook*.
- 5.3 Where a colleague is of the opinion that the person to whom the Principal has delegated the mentor's duties is unsuitable for professional reasons, they may submit a written request to the Principal for that mentor to be replaced, stating those reasons.
- 5.4 Where it becomes apparent that the mentor will be absent for the majority of the cycle or is unsuitable for professional reasons, the Principal may perform the duties themselves or delegate them in their entirety to another colleague. Where this colleague is not the colleague's line manager, the alternative mentor will have an equivalent or higher status in the staffing structure as the original mentor. Where necessary, the Principal or Chair of Governors may request support from the Director of Education in providing additional performance development capacity. A performance development cycle will not begin again in the event of the mentor being changed.
- 5.5 All line managers to whom the Principal has delegated the role of performance development mentor will receive appropriate preparation for that role.

## 6. The Performance Development Cycle

- 6.1 The performance of colleagues must be reviewed on an annual basis. The following table outlines the timeline for Performance Development:

Timeframe	Activity
1 <sup>st</sup> September – 30 <sup>th</sup> September	Teams, as directed by the Principal or Head of School, will evaluate their team performance and identify 1-3 improvement aims.
1 <sup>st</sup> October – 15 <sup>th</sup> November	Teams will complete guided research and craft the first draft of their Inquiry Question.
15 <sup>th</sup> November - 10 <sup>th</sup> December	Colleagues will finalise their Inquiry Question with success criteria and create pre-intervention and post-intervention assessments.
1 <sup>st</sup> January – 30 <sup>th</sup> March	Colleagues will implement their Inquiry Question across a sequence of lessons. A lesson observation will take place during the lesson sequence.
1 <sup>st</sup> May – 30 <sup>th</sup> June	Colleagues will evaluate the outcomes of their inquiry and share outcomes with teams.

- 6.2 The performance development cycle, therefore, will run from 1<sup>st</sup> September to 31<sup>st</sup> August for colleagues and the Principal.
- 6.3 Colleagues who are employed on a fixed term contract of less than one year will have their performance supported in accordance with the principles underpinning the provisions of this policy. The length of the cycle, including the viability of the inquiry question will be determined by the duration of their contract.
- 6.4 Where a colleague starts their employment at the school part-way through a cycle, the Principal or, in the case where the colleague is the Principal, the Trust, shall determine the length of the first cycle for that colleague, with a view to bringing the cycle into line with the cycle for other staff at the school as soon as possible.
- 6.5 Where a colleague transfers to a new post within the school part way through a cycle, the Principal shall determine whether the cycle shall begin again, whether the inquiry question can be completed and is relevant and whether to change the mentor.

## 7. Setting Performance Development Aims

- 7.1 The aims for the Principal's performance will be set by the relevant sub-committee outlined in 4.3.
- 7.2 The Inquiry Question for each colleague will be *Specific, Measurable, Achievable, Realistic and Time-bound* and will be appropriate to the colleague's role, level of experience and professional development aspirations. Inquiry questions will have regard to what can reasonably be expected of any colleague in that position given the desirability of the colleague being able to achieve a satisfactory balance between the time required to discharge professional duties and development, and the time required to pursue personal interests outside work; consistent with the Trust's strategy for bringing downward pressure on working hours. All teachers should be assessed against the set of standards contained in the *Teachers' Standards* published in September 2012.
- 7.3 The Inquiry Question that may be revised if there is a significant change in circumstances, e.g. change of job role, long term sickness, maternity leave or if a colleague requires more support to meet the relevant standards. Performance development plans should also detail how the inquiry question will be achieved and clear success criteria for evaluation. For classroom-based staff, inquiry questions should consider:

### Professional Outcomes

Colleagues should be able to identify improved learning progress for children, pupils or students. For TLR postholders, this could relate to the achievement of their area.

### Professional Practice / Relationships

Colleagues should develop teaching and learning practice and pedagogic capability and should use informal observation of and the reflection on at least one lesson delivered by a peer.

### Professional Development

Colleagues should ensure that their Performance Development Plan is aligned with the School Development Plan / Team Aims as set out in the QIP.

The aims for non-classroom based staff should be adapted accordingly and are likely to focus on the following standards for support staff:

- Managing self and personal skills
- Providing direction
- Facilitating change
- Working with people
- Effective use of resources
- Achieving results

Aims should be such that, if they are achieved, will contribute to improving the achievement of students at the school and lead to cumulative improvement of their subject, department, phase or college team.

7.4 Though performance development includes an assessment of overall performance of a colleague through an inquiry question and assessment against Teacher Standards, the Inquiry Question cannot cover the full range of each individual's roles and responsibilities. The Inquiry Question 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 colleague's roles and responsibilities not covered by the inquiry question, or any amendment to the statement that may have been necessary in accordance with the provisions of the regulations, have been carried out satisfactorily.

## **8. Reviewing Progress**

8.1 Each colleague will have an interim review of progress with the Inquiry Question, scheduled by the school and according to the terms of the Salary Policy

8.2 During the Performance Review at the end of the cycle, assessment of performance against the Inquiry Question will be on the basis of the performance criteria set at the beginning of the cycle and will consider whether a colleague has developed professionally and made a positive contribution to the performance improvement of the school. Alongside this, line managers will complete a review of each teacher against the [Teacher Standards](#), for classroom teachers, and the [Headteachers' Standards 2020](#) for all members of SLT; for support staff assessment will be against the [Support Staff Standards](#). This review will seek to confirm that staff have met each of the relevant Standards. In considering the evidence of achievement of the performance development through the Inquiry Question and the Professional Standards, the line manager will confirm that the member of staff has either demonstrated *a level of performance which is (a) good, or (b) not good enough*. From this, the Principal will make a decision about salary progression. For colleagues who have demonstrated an exceptional level of performance, the Principal will, at his or her discretion, award a bonus payment as outlined in the Salary Policy.

8.3 The Performance Development cycle is annual, but on occasions it may be appropriate to set team aims that will cover a period over more than one cycle. The Inquiry Question would not exceed the inquiry period.

## **9. Classroom Observation Protocol**

9.1 Observation and monitoring of classroom practice and other responsibilities is important, both as a way of assessing colleagues' performance development in order to identify any particular strengths and areas for development they may have, and of gaining useful information which can inform school improvement more generally. Observation of classroom practice should provide at least one opportunity for professional dialogue about progress in achieving the aim of the Inquiry Question.

- 9.2 Colleagues (including the Principal) who have responsibilities outside the classroom should also expect to have their performance of those responsibilities reviewed.
- 9.3 All classroom observation will be undertaken in accordance with the regulations and this classroom observation protocol. One observation will evaluate implementation of the Inquiry Question, providing the opportunity to review the success of the inquiry focus at an interim point.
- 9.4 Classroom observation will be developmental, supportive and contribute to the successful implementation of the Inquiry Question. Staff involved in the process will consider the overarching aims of the team and how the Inquiry Question will contribute to achieving it. Colleagues will:
- carry out the role with professionalism, integrity and courtesy;
  - evaluate objectively;
  - report accurately and fairly;
  - contribute to reviewing the successful implementation of the Inquiry Question and
  - respect the confidentiality of the information gained, subject to requirements of paragraph 14 below.
- 9.5 Each colleague will be observed at least twice and not more than three times in a cycle, for the purposes of performance development, or Teaching Learning Leadership / Subject Review (TLLR). Outside of the requirements for performance development, depending on school context, colleagues may also be observed or have lessons visited through any external reviews, e.g. OFSTED, or to support the developments in and research of curriculum implementation and teaching and learning.
- 9.6 The arrangements for classroom observation will be included in the planning and review statement and will include the amount of observation, specify its primary purpose, any particular aspects of the colleague's performance which will be assessed, the duration of the observation, when during the performance development cycle the observation will take place and who will conduct the observation.
- 9.7 Where evidence emerges about the colleague's teaching performance that gives rise to concern during the cycle, classroom observations may be arranged in addition to those recorded at the beginning of the cycle, subject to a revision meeting being held in accordance with the regulations.
- 9.8 Information gathered during the observation will be used, as appropriate, for a variety of purposes including informing school self-evaluation and wider improvement strategies in accordance with the Trust's commitment to streamlining data collection and minimising bureaucracy and workload burdens on staff.
- 9.9 The purpose of lesson observation is to support and develop practice, particularly the success of the Inquiry Question.
- 9.10 Classroom observations will only be undertaken by persons with QTS. In addition, 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.
- 9.11 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 unless otherwise agreed, in a suitable, private environment.
- 9.12 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.

- 9.13 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 colleague has the right to append written comments on the feedback document. No written notes in addition to the written feedback will be kept.
- 9.14 The Principal, SLT and senior staff have a duty to evaluate the standards of teaching and learning and to ensure that proper standards of professional performance are established and maintained. They have the right at any time to drop in and spend time in lessons to inform monitoring of the quality of learning and to support the good order of the school.
- 9.15 Learning walks will only inform the performance development process where evidence arises which merits the revision of the performance development planning statement, in accordance with the provisions of the regulations.

## **10. Feedback**

- 10.1 Colleagues will receive constructive feedback on their performance throughout the year. Feedback will highlight particular areas of strength as well as any areas that need attention. Where there are concerns about any aspects of the colleague's performance, the mentor will meet the colleague formally to:
- give clear feedback to the colleague about the nature and seriousness of the concerns;
  - give the colleague the opportunity to comment and discuss the concerns;
  - if the concerns are sufficiently serious that, if not addressed, they could lead to formal capability procedures, invite the colleague to be accompanied by a Trade Union representative or work-based colleague at the above meeting and any subsequent review meeting (meetings will not be delayed if a companion is not available);
  - agree any support (e.g. coaching, mentoring, structured observations), that will be provided to help address those specific concerns (as part of the support, it may be agreed that additional classroom observations are needed in excess of those referred to in the Classroom Observation Protocol);
  - make clear how, and by when, the mentor will review progress (it may be appropriate to revise objectives, and it will be necessary to allow sufficient time, reflecting the seriousness of the concerns, for improvement);
  - explain that if no, or insufficient, improvement is made then the matter could move to the formal capability procedure.

Written confirmation of the support that is to be offered and the timescales for improvement will be provided within 5 working days of the meeting.

- 10.2 The intention of this process is that it should be supportive and is designed to bring about an improvement in performance. The *Teacher Support and Development Programme (TSDP)* will be considered and may be used as a vehicle for supporting colleagues and improving the quality of classroom practice. At the end of the support process, progress will be reviewed. If the mentor is satisfied that the teacher has made, or is making, sufficient improvement, the performance development process will continue as normal, with any remaining issues continuing to be addressed through that process. If progress has been insufficient, the teacher will be advised and will be invited to a formal meeting using the process described in paragraph 12. The teacher should be aware that this could have been a possibility if they have not made sufficient progress during the support process.



## **11. Transition to Capability**

11.1 If the mentor is not satisfied with progress, this will be discussed with the Principal for approval to transition to the capability route. If approved by the Principal, the colleague will be notified in writing that the performance development system will no longer apply and that their performance will be managed under the capability procedure, and will be invited to a formal capability meeting. The capability procedures will be conducted in accordance with the Capability Policy.

## **12. Annual Review**

12.1 Each colleague's performance will be formally assessed in respect of each period in the *Performance Development Review* (PDR). This assessment is the end point to the annual process, but performance and implementation of the Inquiry Question will be reviewed and addressed on a regular basis throughout the year. The lesson observation will provide a formal opportunity for the mentor to establish progress with the colleague.

12.2 The process for the PDR and its links to the *Annual Salary Assessment* (ASA) are outlined in Annex B of the *Salary Policy*.

12.3 The colleague will receive a written report as soon as practicable following the end of each period (no later than 31<sup>st</sup> October for colleagues, no later than 31<sup>st</sup> December for the Principal). Colleagues will have the opportunity to comment in writing on this report which will include:

- details of the colleague's Inquiry outcome;
- an assessment of the colleague's performance of their role and responsibilities against the relevant standards;
- an assessment of the colleague's training and development needs and identification of any action that should be taken to address them;

12.3 The assessment of performance and of training and development needs will inform the planning process for the following period.

## **13. Appeals**

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

13.2 Details of the appeals process are the same as in the *Salary Policy*.

## **14. Confidentiality**

14.1 The whole process and the statements generated under it, in particular, will be treated with strict confidentiality at all times. Only the colleague's mentor or, where s/he has more than one, each of her/his mentors will be provided with access to the colleague's plan recorded in her/his statement, upon request, where this is necessary to enable the mentor to discharge her/his mentor responsibilities. Colleagues will be told who has requested and has been granted access. Copies of lesson observations completed within the performance development process form a central part of the school's self-evaluation of teaching and learning and must be provided to the colleague, line managers and Principal. Copies of training and development needs must be provided also to the senior colleague who carries the responsibility for training issues.

## **15. Continuing Professional Development (CPD)**

15.1 Each school's CPD programme will be informed by the inquiry process and the training and development needs identified in the training annex of the colleagues' planning and review statements.

- 15.2 The Principal 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 colleagues.
- 15.3 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 colleague to meet the aim of their Inquiry Question; 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. Colleagues should not be held accountable for failing to make good progress towards meeting their performance criteria where the support recorded in the planning statement has not been provided.

## **16. Retention of Statements**

- 16.1 Planning and review statements will be retained for six years and then destroyed.

## **17. Monitoring and Evaluation**

- 17.1 The Director with oversight of HR will monitor the operation and outcomes of arrangements by considering the analysis of salaries presented by the CEO in the spring term.
- 17.2 The Trust is committed to ensuring that the performance process is fair and non-discriminatory.
- 17.3 The Principal will report to the CEO on any appeals or representations on an individual or collective basis on the grounds of alleged discrimination.

## **18. Review of the Policy**

- 18.1 The Trust will consider this policy every school year.
- 18.2 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.
- 18.3 Where significant changes have been made, the review by the Trust will follow consultation on the policy between the CEO and colleagues through their union representatives.
- 18.4 To ensure colleagues are fully conversant with the appraisal arrangements, all new colleagues who join the school will be briefed on them as part of their induction.

## **19. Access to Information**

- 19.1 Copies of the school's Development Plan and analyses of examination performance are available from senior staff.