

Prompt sheet 1

Performance management process: governing body's responsibilities

A. How does the governing body:

1. review and agree the performance management policy?

- What criteria are used for reviewing the policy?
- How is the headteacher's annual report on the effectiveness of the performance management process used to inform the review of the policy?
- When is the policy reviewed?
- Are all governors involved?
- Is the review used to contribute to the self-evaluation?

2. monitor the effectiveness and impact of the performance management process?

- What activities make up the monitoring?
- What evidence base do the governors use to determine the effectiveness?
- How do governors ensure appropriate resources are identified to support the performance management process in the school?
- How does the governing body measure impact (*NB: consider confidentiality*):
 - improved practitioner practice?
 - improved learner attainment?
 - feeds into the school development planning?
 - supports the achievement of the objectives in the school?
 - development/improvement plan?
 - clear professional development planning and implementation to support whole-school and individual development?

3. review the headteacher's performance management through an appraisal panel?

The appraisal panel:

- How are the members chosen? (*NB: No school staff.*)
- In what ways are they prepared and supported?
- Are members of the appeal panel nominated alongside the appraisal panel?
(*NB: The appeal panel must have a different membership to the appraisal panel.*)

The cycle:

- What does the annual cycle look like?
- How often does the panel meet?

Monitoring and reviewing performance:

- How does the panel monitor performance of the headteacher throughout the year?
- What information do they use?
- What part does the analysis of data play (including the All Wales Core Data Set)?
- What other sources of evidence are used, e.g. practice, review and development (PRD) record; self-evaluation; school development plan; Estyn inspection report; attendance; exclusions; standardised test outcomes; banding?
- In what way are the objectives linked to school, local authority and national priorities?
- How do the Leadership Standards inform the review of performance and the setting of objectives?

- How do the headteacher objectives contribute to improving the progress of learners at the school?
- How is the outcome reported to the full governing body?

Professional development:

- How does the panel identify and facilitate professional development for the headteacher?

4. implement the appeals process?

- How are the members of the appeals panel chosen? *(NB: No school staff.)*
- What is the composition of the appeals panel? *(NB: An appeals panel should have four members: two governors and two local authority members – see regulations.)*
- Are members of the appeals panel nominated alongside the appraisal panel? *(NB: The appeals panel must have a different membership to the appraisal panel.)*
- In what ways are they prepared and supported?
- Is the appeals process set out in the school's performance management policy and procedure? *(NB: Headteacher may appeal against aspects of the appraisal and the appraisal statement. This must be within 10 days of receiving the statement and in writing to the governors – see Performance management for headteachers (section 6). Teachers may also appeal against the appraisal process – see Performance management for teachers (section 6). The appeal review should be within 10 days. A new appraisal can be ordered with new appraisers but they cannot change objectives.)*

B. How is performance management embedded in the improvement processes of the school?

- Is there a policy in place and reviewed annually?
- Are process and procedures documented and well understood by all?
- Is appropriate training in place, **and** delivered, for governors and appraisers?
- Is there a planned timetable of reviews?
- Do all staff maintain practice, review and development (PRD) records?
- How do outcomes feed into the improvement plan priorities as appropriate?
- What difference does it make?
- How does performance management help to improve standards and how do you know?

C. Are there any aspects that could be improved?

- Is the policy reviewed annually?
- Are processes and procedures evaluated and improved as necessary?
- Is training reviewed to reflect changes in legislation?
- Is confidentiality ensured?

Prompt sheet 2

Performance management process: headteacher's responsibilities

A. How does the headteacher:

1. review and agree the performance management policy with the governing body and the local authority?

- When and how is this undertaken each school year?
- How do the headteacher, governing body and local authority work together?
- How do the headteacher and governing body involve staff and recognised trade unions?
- Is the process integrated into the self-evaluation and improvement process?
- In what ways are the outcomes of the review recorded and disseminated?

2. determine the timing of the school's appraisal cycle?

- What factors are taken into account when the timing of the cycle is determined?
- How does it link to the school planning, improvement and review cycle?
- Does the timing of the cycle allow any decisions on pay progression to be informed by the outcome of performance reviews?
- What arrangements are made for staff appointed to the school or acting up mid-cycle?

3. appoint an appraiser for every teacher in the school and ensure the appraisers carry out their responsibilities?

- How are appraisers chosen and deployed?
- To what extent are teachers consulted?
- Are there contingency arrangements in place in case of absence of an appraiser or a breakdown of the professional relationship?
- How are they prepared and supported?
- Is there an annual briefing for appraisers at the beginning of each cycle?
- In what ways do they refer to the professional standards, job descriptions and practice, review and development (PRD) record when setting objectives?
- How is their performance as an appraiser monitored and supported?
- How is consistency of judgements between appraisers ensured?
- Are all appraisers clear on taking appropriate action and facilitating support when there is underperformance?
- Is workload for appraisers planned for with appropriate resources?

4. ensure that there is monitoring of teaching and developmental feedback?

- In what way is the appraisal cycle planned between the appraiser and appraisee?

- How do appraisers keep progress under review and monitor performance against objectives regularly throughout the performance management cycle?
- How are appraisers supported to carry out effective classroom observations?
- How are appraisers supported to provide constructive and supportive feedback?
- Are the recording systems understood and used effectively?

5. ensure that teachers have individual plans and targeted professional development that support whole-school improvement?

- Has each member of staff got a practice, review and development (PRD) record?
- How does the headteacher ensure that the practice, review and development (PRD) records are maintained?
- How does the headteacher ensure that the professional development priorities identified through the performance management process support the school development plan?

6. report annually the effectiveness of the school's performance management procedures to the governing body?

- How does the headteacher draw up the content of the report?
- How does the evaluation feed into the annual review of the performance management policy and the school's improvement planning?
- How is the outcome recorded and disseminated?
- How does the headteacher include the views of the teaching staff in the review?

B. How is performance management embedded in the improvement processes of the school?

- Is there a policy in place?
- Are process and procedures documented and well understood by all?
- Is appropriate training in place **and** delivered, for governors and appraisers?
- Is there a planned timetable of reviews?
- Do all staff maintain practice, review and development (PRD) records?
- Do the outcomes feed into the improvement plan priorities as appropriate?
- How does it make a difference?
- How does performance management help to improve standards and how do you know?

C. Are there any aspects that could be improved?

- Is the policy reviewed annually?
- Are processes and procedures evaluated and improved as necessary?
- Is training reviewed to reflect changes in legislation?
- Is confidentiality ensured?

Prompt sheet 3

Performance management process: appraiser's responsibilities (governors, local authority nominees, headteacher or teacher)

A. How does the appraiser/how do the appraisers:

1. plan the appraisal cycle with the appraisee?

- What might inform the timing?
- Prior to planning the appraisal cycle is the appraiser(s) familiar with:
 - statutory performance management procedures?
 - the school's performance management policy?
 - the teacher's job description?
 - the school's continuous professional development (CPD) system?
- Prior to planning the appraisal cycle, does the appraiser:
 - reflect on the school improvement plan and any relevant learner performance information?
 - consider the priorities that are relevant to the teacher's work?
- In what ways is regular contact made with the appraisee?
- How are the overall monitoring arrangements determined, agreed and recorded?
- How are the practice observations determined?
- In what ways will data and evidence be used to support judgements on performance?
- Is the cycle consistent with the performance management policy?

2. set the objectives taking account of the performance review of the previous cycle?

- How have the professional standards been used as a backdrop for setting the objectives?
- What other factors are taken into account when setting objectives?
- Do the objectives support the improvement priorities for the school?
- Do the objectives support evidence-based judgements?
- To what extent are the appraisers confident in determining that objectives are clear, concise, measurable, challenging and relevant?
- When setting objectives, has regard been taken of what can reasonably be expected of the teacher in being able to achieve a satisfactory balance between the time required to discharge professional duties and the time required to pursue personal interests outside work?

3. discuss and identify professional development needs?

- How does the appraiser(s) facilitate professional development for the appraisee?
- Are these clearly linked to the needs of the school as well as the individual?
- How do appraisers share these needs with the continuous professional development (CPD) coordinator?

4. keep progress under review and monitor performance against objectives regularly throughout the performance management cycle (formative review)?

- In what ways does the appraiser(s) keep progress under review and monitor performance against objectives regularly throughout the performance management cycle?

- In what ways does the appraiser(s) carry out effective classroom observations?
 - In what ways do appraiser(s) provide constructive and supportive feedback?
 - What systems are used to maintain effective and timely records?
 - How will the appraiser(s) make use of the appraisee's practice, review and development (PRD) record?
- 5. take appropriate action and facilitate support when there is underperformance?**
- Is the appraiser(s) clear on taking appropriate action and facilitating support when there is underperformance?
- 6. conduct an annual review of performance with the appraisee (summative review including judgements)?**
- How will the appraiser(s) prepare for the annual review?
 - What data and evidence will be considered in preparation for the review, including the outcome of the monitoring undertaken?
 - How will the appraiser(s) make use of the appraisee's practice, review and development (PRD) record?
 - Prior to the appraisal review, is the appraiser(s) familiar with:
 - statutory performance management procedures?
 - the school performance management policy?
 - the teacher's job description?
 - school's continuous professional development (CPD) system?
 - Prior to the appraisal review, does the appraiser(s):
 - reflect on the school improvement plan and any relevant learner performance information?
 - consider the priorities that are relevant to the teacher's work?
 - agree who will write the appraisal statement for the headteacher?
 - agree the format of the appraisal statement?
 - How do appraisers ensure consistency of judgements?
- 7. arrange for the appraisal statement to be made available to the required personnel?**
- Who should have access to the appraisal statement?
 - What are the procedures for making the appraisal statement available?

B. How is performance management embedded in the improvement processes of the school?

- Is there a policy in place?
- Are process and procedures documented and well understood by all?
- Is appropriate training in place, **and** delivered, for governors and appraisers?
- Is there a planned timetable of reviews?
- Do all staff maintain practice, review and development (PRD) records?
- Do the outcomes feed into the improvement plan priorities as appropriate?
- How does it make a difference?
- How does performance management help to improve standards and how do you know?

C. Are there any aspects that could be improved?

- Is the policy reviewed annually?
- Are processes and procedures evaluated and improved as necessary?
- Is training reviewed to reflect changes in legislation?
- Is confidentiality ensured?

**Performance management process:
appraisee's responsibilities
(headteachers or teachers)**

A. How does the appraisee:

1. discuss setting of objectives with their appraiser(s) within the context of the school, the job description and the appropriate professional standards?

- Have the professional standards (Practising Teacher Standards and/or Leadership Standards) been used as a backdrop for setting the objectives?
- What other factors are taken into account when setting objectives?
- Do the objectives support the improvement priorities for the school?
- Do the objectives support evidence-based judgements?
- To what extent is the appraisee confident in determining that objectives are clear, concise, measurable, challenging and relevant?
- When setting objectives, has regard been taken of what can reasonably be expected of the appraisee in being able to achieve a satisfactory balance between the time required to discharge professional duties and the time required to pursue personal interests outside work?

2. inform the process by identifying and providing relevant data, information and evidence?

- Is whole-school data reviewed in the context of the appraisee's responsibilities (as in the job description), teaching responsibilities and leadership?
- What learner level data and information is considered?
- What evidence of the impact on learner performance is considered?
- Is the school development plan used as a source of information and evidence?
- Is the school's self-evaluation record used as a source of evidence?
- What use is made of information from teaching observation?

3. participate in monitoring arrangements and maintain an up-to-date practice, review and development (PRD) record?

- In what way does the appraisee keep their progress under review and evaluate their performance against objectives regularly throughout the performance management cycle?
- In what ways does the appraisee participate in effective classroom observations?
- In what ways does the appraisee respond to constructive and supportive feedback?
- What systems are used to maintain effective and timely records?
- How will the appraisee make use of the practice, review and development (PRD) record?

4. contribute to the annual review against objectives and overall performance?

- How will the appraisee prepare for the annual review?
- What data and evidence will be considered in preparation for the review including the outcome of the monitoring undertaken?

- How will the appraisee make reference to their practice, review and development (PRD) record?
- Prior to the appraisal review, is the appraisee familiar with:
 - statutory performance management procedures?
 - the school performance management policy?
 - their job description?
 - the school's continuing professional development (CPD) system?
- Prior to the appraisal review, does the appraisee:
 - reflect on the school improvement plan and any relevant learner performance information?
 - consider the priorities that are relevant to their work?
 - agree the timescale for the recording of the appraisal statement

5. discuss and identify professional development needs to support professional practice?

- Are these clearly linked to the needs of the school as well as the individual?
- How will these needs be shared with the continuous professional development (CPD) coordinator?

B. How is performance management embedded in the improvement processes of the school?

- Is there a policy in place?
- Are process and procedures documented and well understood by all?
- Is appropriate training in place, **and** delivered, for governors and appraisers?
- Is there a planned timetable of reviews?
- Do all staff maintain practice, review and development (PRD) records?
- Do the outcomes feed into the improvement plan priorities as appropriate?
- How does it make a difference?
- How does performance management help to improve standards and how do you know?

C. Are there any aspects that could be improved?

- Is the policy reviewed annually?
- Are processes and procedures evaluated and improved as necessary?
- Is training reviewed to reflect changes in legislation?
- Is confidentiality ensured?

Prompt sheet 5

Performance management process: supporting the school

A. In what way does the performance management process:

5. support the vision of the school?

- Does the school have a vision statement?
- Is it included in performance management documentation?
- Is the vision of the school clearly articulated, shared, understood and acted upon effectively by all?
- Has the vision been reflected in the school development plan and operational plans and policies?
- Do the objectives set reflect the schools vision statement?

6. contribute to improving the attainment and welfare of learners?

- Is there effective use of data from within and outside the school?
- Is there a rigorous evaluation process which leads to the identification of the strengths and areas of development?
- Is there a commitment to the attainment and welfare of learners?
- Is there collaboration with outside agencies, including the local authority, in providing for the well-being of learners and their families?

7. assist in the professional development of all staff?

- Is professional development undertaken on a regular basis?
- Is professional development consistent with the school's continuing professional development (CPD) system?
- Is a range of activities used to contribute to a teacher's professional development, including teaching, shadowing colleagues, visits to observe good practice, personal research, the use of mentors or coaches, and opportunities for taking on new areas of responsibility and/or working in a new area?
- Do professional development activities support agreed objectives?
- Do professional development activities support professional growth?

8. establish an atmosphere of trust between the teacher and their appraiser which allows for rigorous evaluation of strengths and identification of areas for development?

- Is the performance management policy clearly understood?
- Is there an understanding of roles and responsibilities within the process?
- Is the process supportive of appraisers and appraisees?
- What training has been put in place to support appraisers, e.g. listening, questioning and feedback skills?
- How can confidentiality be ensured?
- Is there a clear understanding that performance management does not form part of any capability, disciplinary or dismissal procedure?

9. encourage the sharing of good practice?

- How does the school's performance management process help in the identification of best practice?
- Is best practice endorsed by evidence from relevant research?
- How does the performance management process encourage teachers to be reflective and share good practice?

10. underpin the overall approach to leading and managing the school?

- Is reference made to job descriptions and, as a backdrop to discussion, the revised professional standards for education professionals in Wales?
- Are objectives relevant to whole-school or team objectives specified in the school improvement plan?
- Do objectives set support the improvement priorities of the schools and contribute to improving the progress of learners?
- Are the links between school improvement planning, performance management and continuous professional development (CPD) made clear?

B. How is performance management embedded in the improvement processes of the school?

- Is there a policy in place?
- Are process and procedures documented and well understood by all?
- Is appropriate training in place, **and** delivered, for governors and appraisers?
- Is there a planned timetable of reviews?
- Do all staff maintain practice, review and development (PRD) records?
- Do the outcomes feed into the improvement plan priorities as appropriate?
- How does it make a difference?
- How does performance management help to improve standards and how do you know?

C. Are there any aspects that could be improved?

- Is the policy reviewed annually?
- Are processes and procedures evaluated and improved as necessary?
- Is training reviewed to reflect changes in legislation?
- Is confidentiality ensured?

Prompt sheet 6

Performance management process: supporting the school improvement processes

A. In what way does the performance management policy and procedures:

11. integrate the performance management process into the overall approach to leading and managing the school?

- Does the school have a vision statement?
- Is it included in the policy?
- Are processes and procedures clear?
- Is performance management fully integrated with the school improvement plan?
- Does the policy address training and development issues for appraisers and appraisees?
- Does the policy address training and development for governors?
- Are the outcomes of reviews fed into the school's professional development planning?
- Is best practice disseminated effectively?
- Do outcomes of the process lead to an improvement in standards?
- Are objectives relevant to whole-school or team objectives specified in the school improvement plan?

12. facilitate clarity?

- In what ways does the performance management policy and procedures provide clarity on:
 - the operation of the process?
 - the roles, responsibilities and expectations of the participants?
 - the evaluation of the effectiveness of the policy?
- Does the process support the vision of the school?
- Are the processes and procedures to be followed clearly set out?
- Are roles and responsibilities at all levels clearly identified?
- Is reference made to job descriptions and the revised professional standards for education professionals in Wales?
- Is there a link between performance management arrangements and the school improvement process?
- Are there procedures which will assist in the professional development of all staff and contribute to the raising of standards of attainment and well-being for all learners?
- Is the policy reviewed annually by the governing body?

13. engender an atmosphere of professional respect and trust?

- Does the policy ensure fair and objective appraisals for all?
- Is confidentiality addressed?
- Is professional development consistent with the school's continuous professional development (CPD) system?
- Does the policy recognise a range of activities which can contribute to a teacher's professional development, including teaching, shadowing colleagues, visits to observe good practice, personal research, the use of mentors or coaches, taking on new areas of responsibility and/or working in a new area?
- Does the policy outline how and where appraisal statements will be stored securely?

14. encourage the dissemination of good practice?

- How does the school's performance management process help in the identification of best practice?
- Does the policy outline how this might be undertaken?

15. identify professional development needs to support professional practice?

- Are processes and procedures for the professional development of all staff outlined?
- Are the links between school improvement planning, performance management and continuous professional development (CPD) made clear?

B. Is performance management embedded in the improvement processes of the school?

- Is there a policy in place?
- Are process and procedures documented and well understood by all?
- Is appropriate training in place, **and** delivered, for governors and appraisers?
- Is there a planned timetable of reviews?
- Do all staff maintain practice, review and development (PRD) records?
- Do the outcomes feed into the improvement plan priorities as appropriate
- Does it make a difference?
- How does performance management help to improve standards and how do you know?

C. Are there any aspects that could be improved?

- Is the policy reviewed annually?
- Are processes and procedures evaluated and improved as necessary?
- Is training reviewed to reflect changes in legislation?
- Is confidentiality ensured?