

PERFORMANCE MANAGEMENT/APPRAISAL CHECKLIST FOR EMPLOYERS WITH A LINK BETWEEN PAY AND APPRAISAL

Performance management/appraisal policies acceptable to the NASUWT will have all of the following key features.

- A clear statement that the relevant body for the purposes of appraisal and performance-related pay progression is the school.
- A clear statement that the performance management/appraisal process is developmental and supportive and intended to foster professional dialogue between colleagues.
- A clear timeline for the completion of the performance management/appraisal process in the annual cycle, with 31 October as the last date by which determinations of pay progression are relayed to the teacher concerned.
- The school will operate a 'no surprises' appraisal process although there will be no requirement to schedule formal meetings to review performance during the cycle for all teachers. The 'no surprises' appraisal process will include:
 - confirmation that meeting performance management objectives will lead to the awarding of pay progression;
 - confirmation that teachers who are eligible for pay progression will receive this if the employer has not written to them in good time during the performance management cycle to indicate that they are in danger of not meeting their performance management objectives because of significant concerns, and providing them with support to meet those objectives;
 - an invitation to the appraisee to attend an interim review meeting to discuss the meeting of performance management objectives if a teacher is in danger of not meeting these.
- No use of a career-expectations matrix or any document setting out performance standards other than the Teachers' Standards.
- A designated appraiser who should normally have line management responsibilities for the teacher whose performance they are reviewing and who conducts all aspects of the review, including pay recommendations, for teachers who are eligible.
- The role of the headteacher or principal is to moderate the appraisal and performance-related pay process to ensure that outcomes are compliant with the employer's Public Sector Equality Duty. The recommendations of the appraiser should not be routinely overturned.
- Provisions stating what should be included in the planning statement.
- A right of appeal against all appraisal decisions, which includes:
 - an entitlement to discuss the pay determination decision informally with the decision maker;
 - a first-stage hearing before an employer representative who is not the decision maker;
 - an appeal to a panel which can overturn the employer's decision.

- Pay progression for eligible teachers as a result of the performance management/appraisal review where teachers have met or made significant progress towards meeting their objectives. The performance management/appraisal review statement at the end of the cycle must be the only source of evidence teachers require to support pay progression. No evidence other than the appraisal review statement at the end of the cycle will be utilised within the performance-related pay and appraisal process;
- Clear statements that:
 - the Teachers' Standards will be used to inform the setting of the teacher's performance management/appraisal objectives;
 - the Teachers' Standards will not be used as a checklist against which the teacher's performance is assessed;
 - assessment against the Teachers' Standards will start from the premise that all teachers are meeting the Teachers' Standards and will be assessed as meeting the standards unless clear and compelling written evidence to the contrary is provided.
- No more than three objectives will be set for any teacher.
- The teacher's objectives are the focus for the performance management/appraisal review.
- Pupil data targets and/or results are not used to assess teachers' performance or influence appraisal outcomes.
- A grading system (such as Ofsted-style gradings) is not used to assess teachers' performance or influence appraisal outcomes.
- A clear distinction is made between performance management/appraisal and capability procedures with an informal stage before formal capability. If a teacher's performance is causing serious concern, the policy must state that a meeting with the teacher will be called to consider the evidence of serious concern. In addition, where the case for serious concern is made, the policy must state that an appropriate period of support will be provided, at the end of which will be a further meeting to review progress. If the teacher is still experiencing difficulties, then consideration may need to be given as to whether formal capability procedures should begin.
- The content of the performance management/appraisal review statement must be drawn up in discussion between the appraiser and appraisee.
- All performance management activities will take place within the teacher's directed time, but not within a teacher's planning, preparation and assessment (PPA) time.
- There should be a limit of a total of three observations for all purposes. Under no circumstances shall the total time occupied by all observations exceed three hours per year and the focus and timing must be agreed in the teacher's performance management/appraisal planning statement.
- Performance management review statements are confidential to the headteacher, appraiser and appraisee.
- The operation of the performance management/appraisal policy and process has been workload impact assessed to ensure that it does not add to the workload of anyone involved. This includes a specific workload impact assessment of the provisions for part-time teachers, to ensure that the demands placed on part-time teachers are proportionate and consistent with their part-time status.