

Halstead CP School

Appraisal Management Policy



Approved by the Full Governing Body

Patricia Dunmall (Chair of Governors)

Mr Hawkins (Headteacher)

Signed :

Date : 17th October 2018

To be reviewed : October 2019

Policy on Performance Management

1. Introduction – Purpose of the Policy

In this school we are committed to continually improve the quality of teaching and learning for all our pupils and we believe that appraisal management will assist our staff to achieve this aim through access to appropriate standards setting, encouragement, development and feedback.

We believe that appraisal management will enable a professional discussion to take place regarding workload and priorities and will give staff the appropriate focus, development and support. It will also provide staff with an opportunity to discuss in confidence any matters regarding their employment at work that may inhibit their performance.

This policy sets out the principles and framework for a clear and consistent assessment of the overall performance of all staff and for supporting their development needs within the context of the school plan for improvement, school self-evaluation and their own professional needs.

2. Principles

We will implement our appraisal management arrangements on the following principles:

- *Equality of Opportunity:* All staff should be encouraged and supported to achieve their potential through clarity of expectations and job role, regular feedback, performance review and provision of relevant development.
- *Consistency of Treatment and Fairness:* We will take action to ensure our performance management process is fair, non-discriminatory and that staff are treated consistently
- *High Standards:* We believe by setting appropriate and challenging standards of performance and providing suitable feedback and development all staff have the potential to continually improve their performance
- *Work – life balance:* All staff are entitled to a satisfactory work – life balance and performance management is an appropriate mechanism to facilitate this
- *Pay and Rewards:* Pay progression for staff should reflect their overall contribution to the school both as individuals and as team members.

3. Application of the Policy

This policy applies to all staff employed in this school with the exception of teachers undergoing their formal year of induction or on contracts of less than one term. The operation of this policy will be suspended for any staff whose performance merits the application of the schools' competency procedure.

Appraisal management arrangements for temporary and part – time staff, including job-sharers, should apply on the same basis as for full-time, substantive staff. The same degree of challenge in the process should apply but the breadth and volume of each element in the process should be proportionate to the period of time worked.

The intention is that all staff, whether full or part time, temporary or substantive will have equivalent access to development, support and feedback.

4. Policy Framework

4.1 General

Appraisal management is a shared responsibility. The Governing Body has the strategic responsibility for establishing this policy and providing the Head Teacher with the support to ensure it is fully implemented.

The Head Teacher will ensure that this policy, associated regulations and guidance are communicated effectively and that staff with appraisal management responsibilities have access to appropriate training and preparation.

Appraisal management for teachers in this school is an annual cycle from Sept to Oct. The Head Teacher's performance review will be completed by 31st October, and she will ensure that performance reviews for all teachers will be completed by 31st December in any one cycle.

The performance reviews for all support staff will be completed annually ending on 31st March in each year.

Staff joining the school part way through a mid cycle will have their planning and review statement prepared within 6 working weeks of their start date. **The Head Teacher, or the governing body if the Head Teacher is the reviewee, will determine the length of the first cycle for a new employee to bring it into line with the normal school cycle as soon as possible.**

The Head Teacher shall determine if the appraisal management cycle shall start again for a member of staff who transfers to a new post within the school part-way through the school year. If the Head Teacher is the reviewee then this decision will be made by the governing body.

All staff must have an up to date job description and this will form the basis for discussion at the planning and review meeting. Staff should have access to the school plan for improvement, school self evaluation and other relevant planning documents in good time for their review meeting.

Where serious weaknesses are identified in a reviewee's performance then this procedure should cease and the issues will be managed within the school's capability procedure. The appraisal management process will be re-commenced when the reviewee's performance has reached a satisfactory level.

4.2 Appointing Reviewers

The Governing Body will establish a committee of 2 governors to review the appraisal of the Head Teacher. The committee will take advice from the school's accredited school improvement partner (SIP).

The Head Teacher will be the reviewer for those staff he/she directly line manages and will delegate the role of reviewer, in its entirety, to the relevant line managers for some or all other staff. All reviewees will be informed of their reviewer at the beginning of the cycle. **All reviewers will be responsible for conducting the annual review in its entirety in accordance with this policy and any statutory regulations or contractual requirements, taking due account of any guidance issued.**

Where a reviewee has more than one line manager the Head Teacher will determine which line manager will be best placed to manage and review the reviewee's performance.

The Head Teacher will need to determine if it is appropriate for there to be a change of reviewer when a member of staff changes post within the school.

Where a reviewee is concerned regarding the suitability, for professional reasons of their allocated reviewer then the reviewee may submit a written request to the Head Teacher for that reviewer to be replaced. The request must state the reasons. Where the Head Teacher is the reviewee he/she should write to the Governing Body to request that a governor be replaced.

Where it becomes apparent that the reviewer will be absent for the majority of the cycle or is unsuitable for professional reasons then the Head Teacher may either perform the duties him/herself or delegate them in their entirety to another suitable reviewer. In this event the reviewer must have an equivalent or higher status in the staffing structure than the reviewee's line manager.

A performance management cycle will not begin again because the reviewer has been changed.

The Head Teacher will ensure all reviewers receive appropriate training and preparation for their role.

In this school the maximum number of reviewees for whom a reviewer will have responsibility will be 6, having due regard for the need to achieve a satisfactory work – life balance for all staff.

4.3 The Planning and Review Meeting

It is the responsibility of the reviewer to arrange the planning and review meeting with their reviewee at the beginning of the review cycle, normally with at least five working days advance notice. The reviewer must prepare for the meeting and ensure all relevant information and evidence that will be used during the meeting has been shared with the reviewee at the earliest possible opportunity.

The planning and review meeting should provide a two way discussion to:

- **Assess performance during the previous year against the expectations of the post, including the reviewee's performance objectives making any necessary recommendation for pay progression.**
- **Agree expectations for the year ahead by reviewing job description and appropriate performance objectives**
- **Confirm timescales for achievement of the objectives and for provision of support, including development**
- **Ensure the reviewee understands the performance criteria, including relevant pay progression criteria and any evidence to be taken into account in assessing performance**
- **Discuss and agree appropriate monitoring arrangements and other support for the reviewee, including classroom observations, if appropriate to the reviewee's role**
- **Agree any areas of relevant training and development and related actions**
- **Allow the reviewee to raise any issues or concerns regarding their workload or work - life balance**

It is the reviewee's responsibility to play an active role in their review. This includes preparing for the meeting by:

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- reflecting on their performance over the past year
- considering how they have made a wider contribution to the school, and
- identifying some of their future development needs

Self-review does not require submission of any formal documentation although a suggested framework for reviewees is set out in Appendix 1.

4.4 Reviewing Performance

It is the reviewer's responsibility to ensure that the relevant documentation is available to enable the reviewee to prepare and play an active role in the planning and review meeting and to ensure a full and fair review of the reviewee's performance and contribution.

This will include some or all of the following:

- **The reviewee's job description**
- **Objectives set for the reviewee at the beginning of the previous cycle, including timescales**
- **Support for the reviewee, including training/development provided** and evidence of how practice has changed or is planned to change as a result
- **Performance criteria**
- **National standards of practice**
- Ways to Success (Support Staff on Kent Scheme contracts only)
- Notes from mid – year reviews
- **Classroom observation, where appropriate**
- **Other evidence obtained through the year**

The consideration of any other evidence in the review meeting must have been confirmed at the previous planning and review meeting and then shared with the reviewee as it is collected through the year. Only persons who have a direct professional knowledge of the reviewee may provide such evidence.

The basis for the review will be '*overall performance*' and the criteria to be used must have been specified by the reviewer at the previous planning and review meeting.

When assessing overall performance reviewers should consider how challenging the objectives have been. Good progress towards the achievement of a challenging objective, even if the performance criteria have not been met in full, will be assessed favourably.

Reviewees will not be held accountable if objectives have not been fully met for reasons outside the reviewee's control.

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If a reviewee is absent for a significant part of the cycle the reviewer should consider what was reasonable to achieve during the time when the reviewee was present

If the reviewee is eligible for pay progression then the reviewer will be required to make a recommendation on the basis of the assessment of performance throughout the cycle against the performance criteria specified in the statement. The criteria used must be consistent with any national or KCC determined requirements and this will be clearly stated in the school's pay policy.

4.5 Objectives

All reviewees must have performance management objectives that are relevant to their role, that take full account of the reviewee's experience and career/professional aspirations and are suitable for any related pay progression criteria. The number and nature of objectives must be reasonable and assist the reviewee to achieve a satisfactory work – life balance.

All objectives must have a clear and direct link with the school's priorities for improvement, team objectives and will contribute to improving the progress of pupils at this school.

All objectives must have clear, achievable timescales for completion. Where the timescale for an objective goes beyond the scope of one cycle and into another cycle it must be made clear to the reviewee what is expected to be achieved by the end of the first cycle.

Reviewees should be encouraged to set challenging but achievable objectives. Meeting or nearly meeting challenging objectives is a good way to show the level of performance required for pay progression and will also assist career development.

As far as possible the objectives should be reached by agreement. **However where agreement is not possible then the reviewer will set the objectives.**

4.6 Training and Development

Performance management is a developmental process and a key part of the planning discussion should be about the support that the reviewee will need in order to meet identified objectives and performance criteria.

This school is committed to ensuring that all staff have access to a level of development appropriate to their role, stage of career development, performance objectives and criteria and individual aspirations.

Development and training identified from the performance management process must be recorded using the appropriate form (see Appendix 2 page 18) which must then be passed to the Training and Development Coordinator for the school to inform the school's programme for training and development.

This school recognises that development and support may take a number of forms and a wide range of activities which may not necessarily involve a formal course.

4.7 Monitoring

The reviewer will ensure that appropriate arrangements are in place to support the reviewee with regular monitoring and feedback. There should be at least one formal review meeting to discuss performance, provide feedback and discuss the provision of training and development that was agreed at the start of the cycle.

The Head Teacher should audit mid-year reviews with reviewers to ensure consistency of performance assessments

There should be further, informal follow-up and support for reviewees.

Classroom observation is a critical part of the monitoring arrangements for all staff with a teaching and learning role. **Classroom observation will be undertaken in accordance with the performance management regulations and the protocol in Appendix 3 of this policy.**

4.8 Recording Plans

Within five working days of the meeting the reviewer will complete a draft statement (see Appendix 2) and provide the reviewee with a copy. The reviewee may request changes if he/she feels the statement does not convey a fair summary of the meeting and/or may add comments. The reviewer will prepare and sign a final statement within ten working days of the meeting. The reviewer will then pass a copy of the statement to the reviewee and pass the original to the Head Teacher.

A reviewee may use the grievance procedure if the reviewer has not complied with the required timescales in this section.

5. Moderation of Plans

The Head Teacher has a duty to ensure that these procedures are applied fairly and consistently across the school and with regard to equality of opportunity.

As part of this duty the Head Teacher should review and moderate planning and review statements to ensure consistency between those who have similar experience and similar levels of responsibility and ensure that the statements comply with this policy, the regulations and the requirements of equality legislation.

This may involve only a sample of statements but in any event the process must be completed within 10 working days of the review meeting.

Moderation will consider the extent that the statements contribute towards the school plan and in particular pupil progress and achievement.

If there are concerns that a statement is not consistent with reviewees with similar experience and/or similar levels of responsibility; or that the statement is not in line with the school's policy or school plan then the Head Teacher may instruct a new statement to be prepared. In this event the reviewer and reviewee must prepare a revised statement within 10 working days of being instructed.

All moderation must be conducted in a way to maintain confidentiality.

6. Changes to Plans in Mid Cycle

There may be occasions when it is necessary to amend or change the content of the planning and review statement because of changes in the reviewee's circumstances. In this event either party can request a revision meeting to discuss the changes needed. The reviewee and reviewer should sign to say that the changes are an accurate reflection of what was agreed or determined by the reviewer.

If there is no agreement to the proposed changes then the reviewer shall amend the statement with any changes he/she thinks ought to be made and pass the revised statement to the reviewee who may add his/her comments.

7. Confidentiality

The whole performance management process and, in particular, the statements generated from it must be treated with full confidentiality at all times. **Full copies of the review statement will be held by the reviewee and the Head Teacher. For the Head Teacher's review the statement will be held by the Chair of Governors, the Chair of the review committee (if not the Chair of Governors) and the Head Teacher.**

Only the reviewee's line manager(s) may have access to the reviewee's planning and review statement where this is necessary to enable the line manager to discharge his/her management responsibilities.

Governors who are responsible for making pay decisions are entitled to have access to relevant information from the assessment of overall performance for each reviewee.

Reviewees must be informed who has been granted access to their statement and for what purpose. **All statements must be retained in a secure place in the Head Teacher's office for a minimum of six years from the date the performance management cycle ends.**

8. Right of Appeal

Governing bodies are required by law to establish procedures for dealing with any grievance that staff may have at work and **a reviewee can use this procedure to appeal against any entry on their planning and review statement, including any changes made to the statement during the cycle.**

Any appeal should be deferred until after the moderation process is complete, however simple disagreements should be capable of being resolved by discussion between the reviewee and reviewer without recourse to the formal grievance procedure.

Any person hearing an appeal should have access to the planning and review statement.

9. Communication of this Policy

A copy of this policy will be kept in the School Office to ensure that all staff can have access to a copy of it as needed. All new staff joining the school will be briefed on the policy as part of their induction into the school.

10. Monitoring and Evaluation

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

Annually the Head Teacher will provide the Governing Body with a written report on the operation of this policy. The report will ensure that individuals cannot be identified and will include

- **The operation of this policy**

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- **The effectiveness of performance management procedures**
- Reference to any individual or collective appeals/representations
- **Reviewees' training and development needs** and instances when it was not possible to provide agreed support

11. Review of Policy

The Governing Body will formally review this policy annually.

The policy may be revised at other times if necessary to take account of any statutory regulation or associated guidance or changes in policy by Kent County Council's policy.

This policy has been developed in full consultation with staff in our school and their trade union or professional association representatives.

The Governing Body will seek to agree any revisions to the policy with all recognised trade unions and professional associations having regard to the results of the consultation with staff.

**APPENDIX 1
Framework for Self Review**

Reflection and Self Review

By three methods we may learn wisdom: first, by reflection, which is the noblest; second by imitation which is the easiest and third by experience, which is the bitterest.

Confucius

The process of reflecting on an experience or engaging in an analytical review of one's own performance and skills can be a powerful tool for professional development. It can be used to map your next steps in your development plan as well as being a valuable tool in preparation for a performance review discussion.

The skills and attributes needed for effective reflection and self review

- an honest and genuine approach to looking at your own practice
- a willingness to seek out and use constructive observation and feedback
- an ability to focus on priority areas for your development
- active listening and questioning skills
- a conducive environment and opportunity
- colleagues willing and able to give honest, balanced and constructive feedback

Remember that you don't have to be ill to get better

As far as possible reflection/self review should generate specific and evidence based, or at least verifiable, information, avoiding generalised opinion or vague comment.

Self review should be recorded (a suggested format is attached) or alternatively you may prefer to reflect just on the key questions set out below. Self review can be best done with support and constructive challenge from another person, such as a colleague, friend or family member.

Whilst it is important to identify areas and ways to improve your practice remember that it is a positive process to assist you to continuously develop both professionally and personally. Identifying areas of strengths is an important part of this process.

Three Key Questions for You

1. In what ways have I become a better practitioner than last year?

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2. In what areas do I need to develop and how can I achieve this?
3. How can I make a more effective contribution to student attainment and the wider school community?

Reflection – Self Review Tool

	<i>Question</i>	<i>Notes/Evidence</i>
1	Over the last year what have been the most important areas of success for me?	
2	What areas of my role give me greatest satisfaction?	
3	What skills do I have that I and others consider to be a real strength?	
4	What has not gone as I'd hoped over the past year and what have I learnt from this?	
5	What areas of my practice/work or skills do I need to develop and how?	
6	What do I want to achieve in the year ahead, personally and professionally?	
7	How can I contribute further to the development of the school?	
8	Who can help me with my development and how?	

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9	Are there any aspects of working in this school that I would like to see improved. What can I do anything to assist this?	
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Reflection and Self Review

Sometimes reflection can be assisted by some clearer and more detailed thinking on specific aspects to your practice. Set out below are a number of suggested questions that may help you if you have a role directly involved in the teaching and learning of pupils.

1. Personal Values & professional Commitment

How can I better contribute to the ethos of this school?

How can I better contribute to the effectiveness of my team?

How can I help promote a greater sense of identity with the school (amongst staff, pupils, parents and the wider community)?

2. Impact on Teaching and Learning

What changes can I make that will improve students' learning and attainment?

What changes can I make that will improve my practice?

How can I better use ICT to improve students' learning?

How can I work more effectively with other colleagues?

How can I set better, challenging targets for students?

How can I help improve the motivation and behaviour of students?

How can I best track the progress of my students and communicate this appropriately?

3. Professional Knowledge & Understanding

How can I make a better contribution to the school development plan?

How can I make better use of my CPD to improve students' learning and attainment?

How can I help improve cross- curricular communication?

How can I use my professional skills to help other colleagues to develop?

How can I improve my professional knowledge and understanding?

What changes can I make to enable my work to be more rewarding?

APPENDIX 2
Planning and Review Pro Forma

Planning and Review Statement

Review of Performance:
Objectives Set for Year:

<p>Reviewee's Name: Job Title:</p> <p>Reviewer's Name</p> <p>Date of Review Meeting:</p>
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Review of Performance for the Year 2016/17

Objectives Set for Year 2017/18	Notes of Progress/Evidence

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Other Areas of Performance Considered	Notes of Progress/Evidence

Summary Statement for Overall Performance for 2016/17 (attach additional page if needed)

Summary Statement Moderated: YES/NO

Recommendation for Pay Progression: (* not required for review of 2016/17 performance)

Signed: Date.....

Areas of Professional Development or Training Identified from Review:

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Planning Statement for Year _____

Objective Number:	Key Area: school improvement/pupil progress; contribution to team; professional development; leadership; other (please specify)
OVERALL OBJECTIVE What do I need to achieve?	
SUCCESS CRITERIA How can I evidence this?	
INTENTIONS and ACTION STEPS	Date for Completion
	Date for Completion
	Date for Completion
SUPPORT What resources or support will I need?	
POSSIBLE BARRIERS TO SUCCESS	
COMMUNICATION Who else needs to know?	
POSSIBLE SOURCES OF EVIDENCE	
AGREED MONITORING ACTIVITIES Inc. Lesson Observations	Date
	Date
	Date
	Date

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Objective Number:	Key Area: school improvement/pupil progress; contribution to team; professional development; leadership; other (please specify)
OVERALL OBJECTIVE What do I need to achieve?	
SUCCESS CRITERIA How can I evidence this?	
INTENTIONS and ACTION STEPS	Date for Completion
	Date for Completion
	Date for Completion
SUPPORT What training, resources or support will I need?	
POSSIBLE BARRIERS TO SUCCESS	
COMMUNICATION Who else needs to know?	
POSSIBLE SOURCES OF EVIDENCE	
MONITORING ACTIVITIES eg Lesson Observations	Date
	Date
	Date
	Date

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Objective Number:	Key Area: school improvement/pupil progress; contribution to team; professional development; leadership; other (please specify)
OVERALL OBJECTIVE What do I need to achieve?	
SUCCESS CRITERIA How can I evidence this?	
INTENTIONS and ACTION STEPS	Date for Completion
	Date for Completion
	Date for Completion
SUPPORT What training, resources or support will I need?	
POSSIBLE BARRIERS TO SUCCESS	
COMMUNICATION Who else needs to know?	
POSSIBLE SOURCES OF EVIDENCE	
MONITORING ACTIVITIES eg Lesson Observations	Date
	Date
	Date
	Date

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Confirm the intended extent, pattern and focus for lesson observation

Other evidence of performance to be collected during the year including from external partners to inform assessment of overall performance management

Reviewee's comments (optional)

Reviewee Signature..... Date:

Reviewer Signature..... Date:

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DEVELOPMENT AND TRAINING TO SUPPORT THE REVIEWEE'S OBJECTIVES

(This page to be photocopied and passed to the school staff development co-ordinator)

Name:

.....

Job title:

.....

Review Period:

Development and/or training need (including knowledge and skills)	Target date	Activity How this will be achieved	Resources needed

Development Plan agreed by:

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Reviewer:Date: / /
.....

Reviewee:Date: / /
.....

Record of Evidence from Mid Year Monitoring (Reviewee and Reviewer)

Activities/ Events (Refer to Action Plans)	Date	Record of Evidence as Activities/Events are Completed

Overall Assessment at Mid Year Review

APPENDIX 3: Protocol for Lesson Observation

Purpose

The primary purpose of lesson observation is to assist teaching and learning staff to develop their practice through reliable observation and prompt, constructive feedback specific to each lesson, thereby positively impacting on pupil progress and/or achievement.

In addition formal lesson observation records can be used to evidence the quality of teaching and learning staff for either performance management or pay progression decisions. Therefore lesson observation may provide evidence of progress towards objectives or inform an assessment of the overall performance of a reviewee.

Lesson observations should, as far as possible be multi-purpose and therefore information from an observation may also be used as part of the school's quality assurance programme, school self evaluation (SEF) in addition to performance management.

All lesson observations should be reasonable, appropriate and fit for purpose.

Scope

This protocol will be applied in any circumstances where a learning activity delivered by a member of the school staff for is being observed. The protocol applies to any observed learning activity irrespective of the length of time the observation takes.

The Protocol

1. Staff undertaking lesson observation must have received appropriate and ongoing training, development and support to ensure consistency and high standards of observation and feedback. **Observation of a teacher may only be undertaken by a qualified teacher.**
2. **The intended arrangements for classroom observation should be discussed with the individual member of the teaching and learning staff at the beginning of the performance management cycle and recorded in the planning and review statement.**

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3. **There will be a maximum of three hours' observation (pro rata for part time staff) in any one cycle for appraisal management and/or pay progression purposes.** The amount of observation will reflect the individual's needs and specific circumstances, including stage of career progression.
4. **Lesson observations used for appraisal management will be conducted within the context of planning and review statement.** Staff will be notified or reminded of the observer's visit at least one week in advance of the date and time of the visit. The observer will consult with the member of staff regarding the rationale and focus of the observation, the activities to be observed and the duration of the observation with the aim of mutual agreement.
5. The Head Teacher or nominated member of the Senior Leadership Team may additionally drop into a lesson to monitor the quality of teaching and learning. However, the principles and intentions of this protocol must be maintained. The Head Teacher may consider the observations agreed for performance management are sufficient so that additional 'drop ins' are not needed.
6. The member of staff observed will provide relevant planning documents as agreed when the observation was arranged.
7. The member of staff may introduce the observer to the students and give the purpose of the visit as agreed with the observer. The observer will not normally participate in the session but should take opportunities to talk to students as appropriate to establish evidence of effective learning and attainment.
8. The observer will ensure that appropriate notes are taken, including observations of student responses to teaching and that evidence of learning and attainment is recorded.
9. The observer will provide the member of staff with brief feedback immediately after the end of the activity or lesson.
10. The observer will meet the member of staff within one working day of the activity/lesson to discuss the observations. This will be within directed time and where necessary release time will be provided. Neither PPA nor break time will be used for this purpose.
11. The discussion is a two-way meeting. The focus for the discussion should be a factual description of observations and not opinion; sharing of ideas and suggested alternatives; the member of staff's learning needs; positive practice as well as areas for development. The observer should conclude the feedback meeting with a summary of the discussion, an agreed number of action points and a commitment to provide any necessary formal development.

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12. **The observer must complete a record of the observation feedback as soon as possible after the activity and no later than five working days and ensure the member of staff receives a copy of this with the opportunity to append any comments.**
13. Line managers and performance reviewers, if not the reviewee's line manager, must be provided with relevant information promptly from any observations undertaken by other individuals.
14. The observer should ensure that the school's CPD co-ordinator is informed of any agreed formal development.
15. **If concerns arise about the member of staff's performance in a teaching and learning activity then the amount and the focus of subsequent observation should be reviewed jointly at a revision meeting as necessary.**